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ABSTRACT

Because of the state of higher education at the close of the sixties, it is imperative that in the seventies our colleges and universities move toward management reform, particularly in the field of institutional advancement. The institutional advancement program provides the formal mechanism which insures proper utilization of the talents of faculty, administration, and all other persons closely involved in activities designed to advance the understanding and support of the institution. This study is an attempt to stimulate thought and action that will lead to more effective, more economical institutional advancement programs. (HS)

Seeking the Competitive Dollar:

College Management in the Seventies

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Introduction

For higher education few periods of time have spawned more crises than the decade of the sixties. Some were brought about by political decisions, others from social evolution. Educators—as well as students, alumni, and the general public—began questioning life styles and personal values along with many of the traditional teaching techniques and institutional goals. Other crises stemmed from outgrowths of twentieth century technology and economic problems. In the latter part of the decade, inflation compounded the rapidly changing economic base of our colleges and universities.

By the beginning of the seventies, astute educators were acutely aware of three conditions:

1. In the public eye, the image of higher education had become tarnished. To the public, higher education—the system in which so many people had put such high hopes for the advancement of mankind—had proved to be as fallible as man himself.
2. Financially, some of our colleges and universities were in such economic straits that there was serious question whether they could survive. In fact, among small private colleges, the institutional death rate had begun to climb. Even the most affluent and most prestigious institutions, public and private, had experienced deficits and restricted spending.
3. The ordinary way of "doing things," of managing our institutions, was no longer adequate—either for the given task or for the time left in which to complete that task.

In one way or another, each of these three conditions is tied directly to the management of our institutional advancement programs—a term used for editorial convenience to denote those programs responsible for attracting financial support and for communicating institutional goals and programs to the public.

This monograph does not offer a panacea for the solution of all the problems facing institutions of higher education. Rather, this study is an attempt to stimulate thought and action that will lead to more effective, more economical institutional advancement programs.

As in any comprehensive management analysis a number of people gave willingly of their time, experience, and judgement to make this monograph possible. Many had helped in previous studies made by the author, and for this study, particularly in the field of systems management, scores of other persons lent their services for the first time.

A variety of people in higher education were interviewed: presidents, academic deans, business managers, institutional research people, development and public relations program personnel, consultants, association executives, government officials, and many who defy an "easy handle." Also a number of interviews were conducted with individuals not directly related to higher education: systems analysts, designers of information systems, accountants, and management consultants.

The author wishes to single out one person for special acknowledgment. Without the skill and dedication of Miss Annette L. Bacon, compilation of the data on costs, staffs, and salaries for this study and the two previous would not have been possible. Developing and testing new techniques are time-consuming, frustrating chores. For her tireless efforts and competent performance, Miss Bacon deserves a large share of the credit for progress in cost analysis of institutional advancement programs.

The author is deeply indebted to all, as he is to the Esso Education Foundation and Dr. Frederick deW. Bolman, executive director, who supported this and previous studies, and to the Board of Trustees of ACPRA who made his time available through an administrative leave.

Realities of the Seventies: The Competitive Dollar

The United States has been groping, but has yet to find a philosophical base and broad policy outline which will help to determine the respective responsibilities of public bodies and private citizens for the financing of higher education. Historically, we Americans accept the tenet that every child should have the opportunity to have an elementary and a secondary school education at public expense. But to what degree should *higher* education be supported by public funds? At what point does education cease to be a public responsibility "for the general welfare" and become totally—or even partially—a private responsibility?

Clear lines of financial responsibility for higher education may never be delineated. There definitely is little likelihood that in the immediate future a "policy of financial responsibility" will be established and accepted.

For this reason, it is necessary that our institutions of higher education review their historical approaches to attracting financial support, analyze their present procedures, and then develop *flexible* management programs that will enable them to acquire the increasingly competitive dollar regardless of what financial climate they may face.

Chief executive officers of our educational institutions can no longer think of the various income sources as isolated entities. Acquisition of adequate financing in the future will require broader planning and more effective utilization of the various administrative and faculty skills already available on campus. In both public and private institutions, public relations programs must be planned in relation to the legislative (federal and state) climate, student recruitment requirements, property acquisition, labor union relations, private gift activities, and scores of other ever-changing conditions. Alumni programs in many institutions will have to be reassessed with tangible objectives established in line with institutional goals. Productivity of development offices must be increased, and institutional managers must recognize that fund raising techniques can be applied effectively to state and federal bodies as well as to individual, corporate, or foundation prospects.

If funding from federal sources—and to some degree, state sources—shifts toward student aid as opposed to institutional grants, many new aspects of communication, persuasion, and financial planning will be opened—and perhaps some old avenues will be closed. Recruitment will become even more competitive because each institution will want its share of governmental student-aid dollars. Tuitions could climb still higher as institutions add the amount of governmental aid to present tuitions in order to close the fiscal "operating gap." Cost accounting will become even more critical because the government will demand detailed reporting.

It will be necessary to create new communication programs for new audiences. For example, relatively little attention has been paid to formal, systematic communication programs directed toward the national educational community—faculty, administrators, high schools, government agencies, and associations. But these are the very individuals and

groups who hold a key to the all-important word-of-mouth endorsement which helps recruit top faculty and students.

It will be necessary to restore faith in our system of higher education. In the past two years, numerous articles in professional journals and general magazines, the report of the special HEW task force, and publications of the Carnegie Commission have dealt with the so-called "lock-step" of higher education, the concentration on degrees, and the assumption that a college education is "good" for everyone. These reports reflect a growing concern about the directions of higher education and have created a doubt—even a mistrust—that will affect all colleges and universities in the years ahead.

It can be reasonably assumed that in the next decade the composition of most student bodies will be considerably different from that of today. Hopefully, no one will ever doubt the importance of higher education for the right person at the right time in his life. But there may well be a growing lack of reverence for a college degree. As continuing education becomes more important to all individuals, student bodies will consist of a greater range of ages. All these factors will have implications for alumni and parents programs, internal communication, and financial planning.

But among all the constituencies of our colleges and universities, the state legislatures, the Congress, and the executive branch of the U. S. Government could very well hold the key for higher education over the next few years—and possibly much longer. In congress and the state legislatures, colleges and universities find themselves under pressure from four distinct forces:

- ¶ Federal and state financial support, which accelerated so rapidly during the golden years of the mid-sixties, has levelled off and funds have been consolidated;
- ¶ Higher education faces increased competition from social and ecological programs;
- ¶ Governmental units now receive decreased net revenues from tax sources; and
- ¶ Among elected officials there is apprehension concerning the ability of institutions to manage themselves.

Any one of these forces is a serious problem, but all four—without intelligent and decisive counteractions—may be too much for many institutions to cope with.

Much more is at stake in Washington than increasing the flow of federal dollars to support our colleges and universities. In Washington—as in many other areas—we face the problem of disillusionment with higher education. Identification with higher education is no longer sought by many politicians. In fact, some take positions counter to those of higher education, apparently feeling that such an attitude is one way to enhance their political careers. All too frequently, colleges and universities have been used for political or personal gain. Five or six years ago, this worked to the advantage of higher education. Today, it frequently works in the opposite direction.

The attitudes and actions of Congress are vital because, to a great extent, they can affect the flow of all financial support. If congressional attitudes and actions are on the positive side, they can stimulate leadership from all constituencies—on the negative side, they provide rationalization for legislators, citizens, and corporate and foundation leaders to reduce their financial support.

Congress can have a further adverse effect on financial support. Besides underappropriating existing (although admittedly diffuse) programs, Congress occasionally has made attempts at, or has threatened, punitive legislation.

Although colleges and universities, on the whole, were not directly hurt by the Tax Reform Act of 1969, they suffered indirectly. The Act removed the incentive for many individuals to establish or to maintain private foundations. The philanthropic tax laws have become so complicated that there is danger of donor reaction or frustration—either of which could be detrimental to higher education.

Many of the best minds in the field believe true tax reform is long overdue. It probably is. But such reform makes it imperative for higher education to help develop and promulgate legislation beneficial to itself and society.

A number of institutions have recognized that the importance of Washington extends beyond research grants. These colleges and universities have developed positive programs of information, congressional contact at home and in Washington, and constant surveillance of legislative and executive actions. A number of other colleges and universities have expressed a desire for more cohesive action on behalf of higher education by the educational associations based in Washington. As more institutions, and consortia of institutions, become active on the Washington scene, and as a consensus develops on educational priorities, associations will have to reflect these changes.

While recent campus turmoil undoubtedly shook institutions into the recognition of the need for evolution and reform, the intensity and extent of these upheavals probably retarded the movement toward reform of communication and financial support program management. Institutional advancement offices were so busy dealing with crisis after crisis that there was little time for everyday chores, much less for program reform.

If educational managers appear to have their own form of shellshock, it is quite understandable. It would not be difficult to develop paranoia or to lose one's self-confidence by reading many of the

reports, articles, and books produced today by the popular and professional press. Criticism has come from all sources . . . including association executives. When studying and commenting on college management, one constantly must be aware of the old adage —slightly paraphrased—that it's mighty easy to forget that your objective was to drain the swamp when you're up to your eyeballs in alligators.

As mentioned, the popular and professional press are full of education's financial crises—and the problems are genuine. With so many other crises, the natural question then is: Are administrators fully aware that a problem exists and that new techniques need be applied in management of communication and financial support programs? (The term "management" is used here in the comprehensive sense to include planning, implementing, and evaluating functions.)

Most published materials and studies have dealt with the financial crisis and the financing of higher education as opposed to the *management* of financial programs and activities. This point is made not as criticism of either quantity or quality of the current literature, but as a possible explanation of why management reform is so slow in coming. To illustrate, the March 1971 booklet, *Financing Higher Education*, by the ERIC Clearinghouse on Higher Education, had an excellent annotated bibliography of 80 citations regarding the financing of higher education, most of which have appeared in the past six years. This evidence of literary productivity did not include legislative proposals and the myriad newspaper and magazine articles on the subject. In contrast, most bibliographies provide but a handful of entries in regard to program planning, systems analysis, management information systems, cost analysis, etc.

There has been some excellent material published about management of financial programs. The work of the Western Interstate Commission on Higher Education to develop a management information system is a pioneering effort. The cost analysis work of 48 private colleges—by the College of Wooster's Hans Jenny and Richard Wynn—is a noteworthy contribution. Legislatively-inspired cost analyses are in the process of rapid evolution in many state universities, and the writings of Harry Williams (American Council on Education) and Robert Parden (University of Santa Clara) are singular efforts in educational program planning and budgeting. But these are exceptions to the rule.

Literary dearth is a symptom, not a cause, of the fact that most institutions have been slow in seeking ways to adapt and implement proven management practices. In part, apathy toward management reform may be charged to executives who have management responsibilities, but the principal fault rests in the system and the context in which the individual executives have to operate.

We might speculate on some of the reasons for the failure to move toward management reform:

¶ *Anti-management attitude*. Undoubtedly the greatest inhibiting factor might be described as "academic attitude." Concepts such as productivity, professional management, and cost-benefit analysis (all well known and highly accepted in the business world) have not been easy to incorporate into college and university administration. Because management problems are complex and varied, the admirable restraint against building additional administrative layers is to be commended. But it must be remembered that a poor management system can frustrate the most capable of administrators and even ruin those who are less well qualified. When the terms "management practices" and "organizational procedures" are mentioned, all too often the connotation is one of bureaucratic empire building, using methods which limit the creativity and freedom of the individual. The best organizational pattern is one which will enable individuals to operate at their maximum effectiveness consistent with institutional goals and objectives. Therefore, with the change of key personnel at each institution, *consideration* for organizational revision should be made. Revision doesn't *have* to be made, but should be considered. Everyone operates more effectively within a defined framework of responsibility and communication lines.

¶ *Lack of managerial leadership*. If an attitude conductive to management reform is lacking, quite often long- and short-range objectives have not been agreed upon to guide the operation of communication and financial support activities. Either the president has not conveyed a clear understanding of the institution's educational goals and plans to his senior officers, or no such comprehensive plan exists. In institutions where a statement of purpose and educational goals does exist, the documents often have not been reduced to an academic and physical financial plan. Without such detailed planning, effective and efficient communication and acquisition programs from the various resource groups are impossible.

¶ *Unsettled environment*. Colleges and universities have been beset for the past several years with internal and external pressures, many not of their own making. It is only natural, therefore, and quite understandable, that contemplative planning and appropriate management reform have been secondary considerations to what seemed—and was in many cases—a question of survival.

¶ *"Un-prestige" factor.* To an anti-management attitude, lack of leadership, and an unsettled environment must be added what might be called the "un-prestige" factor. Higher education's resources—its faculty, students, and researchers—have helped American industry develop management techniques which are the envy of the world. Although the computer originated in a college laboratory, business-related systems at many institutions frequently operate somewhere between the Ford Trimotor and DC-3 stage in comparison to the supersonic jet sophistication of faculty-student research projects at the same schools. One could write an entire essay on this aspect of poor utilization of institutional resources. Perhaps there is not nearly as much glory—or gold—in assisting one's own instituition as there is in counselling business or government.

Academic traditionalism, responsibility without commensurate authority, inadequate governing boards, and untrained leadership have taken their toll among our colleges and universities, but nowhere have the problems been more compounded than in management of the institution. Such a statement in no way denies the accomplishments of the countless individuals who guided American higher education through remarkable growth periods in the late forties and the sixties. But to resort to the favorite Washington habit of sports metaphors, "We're in a new ball game in a different park." Flexibility and creativity must now be the key ingredients in educational management.

In the foregoing cursory survey of some of the underlying institutional management problems and changing conditions facing higher education, three imperatives seem clear for college management in the immediate future:

(1) The need to program, plan, and build in flexibility;
(2) The need to implement new management approaches and techniques;
(3) The need to develop, on a nationwide basis, an educational management academy for the continuing and systematic training of college administrators.

Let us examine these imperatives in more detail.

Flexibility. Perhaps the reader wonders why there is such great emphasis on the word "flexibility."

The need for flexible financial management systems and creative managers is obvious. Many institutions will have to alter their present income source composition if they are to find the needed additional funds. All institutions will have to cultivate existing sources to a greater degree. In the course of alteration and expansion, many management methods probably will be attempted.

It has been observed that all too often people and programs are rigid: *people* because of inadequate continuing professional education and on-job training opportunities; *programs* for a number of reasons, among them budgetary restrictions, failure to review and evaluate procedures, tradition, lack of a clear definition of objectives in relation to institutional goals, and poor lines of communication.

Departmental structure and position titles can create rigidity. Crossing departmental boundaries to work on complex projects is difficult because more than one chain of command is involved. The problem can be compounded by geographical separation of departments on campus. Job titles form some degree of barrier to teamwork and/or management reform because an individual often considers his responsibilities in a restricted sense—only those activities which he habitually does or which are covered explicitly by his title.

A manager's perspective of his staff can also be restricted by job titles and departmental boundaries. Only through conditioning himself and preparing his staff professionally and psychologically can a manager expect greater program and personnel flexibility.

Flexibility to redefine job descriptions and alter or eliminate existing programs does not happen by accident. It needs to be programmed to such an extent that flexibility becomes an integral part of the management philosophy of the institution.

New Management Approaches and Techniques. If institutions are to compete effectively for financial resources, some degree of change has to take place in management philosophy and practice. Methods need to be developed to assure the maximum utilization of existing funds. ACPRA studies indicate that allocations by most universities, public and private, for institutional advancement programs have leveled off as a percent of educational and general (E&G) expenditures. At private colleges, appropriations in these areas have decreased. It would seem that the optimum expectation for these programs in the next several years, from a realistic and equitable point of view, is that they will not receive an increased portion of the E&G budget and that they actually will suffer a decrease in real dollars.

Priorities must be agreed upon, specific programs and evaluation procedures developed, and a disciplined attitude established for an institution to realize its financial support potential.

To cite two possibilities of increasing financial support potential, great opportunities exist for more effective and efficient state and federal relations programs in most institutions. All elected officials react to political persuasion and/or a feeling that a certain

action is the will of the people. In many ways, state and federal agencies that process grant applications function like a corporation or a private foundation with a professional staff. Greater utilization, therefore, could be made of persons with communication and organization skills to mobilize alumni and other influential supporters in the institution's cause. If there were systematically organized communication programs on a continuous basis, maximum impact could be made on elected officials. The purpose of these programs would be to demonstrate the gravity of appropriations requests and political issues which concern the form and degree of state and federal support to all institutions of higher education.

Other opportunities for greater effectiveness and efficiency exist in better coordination of alumni, development, and public relations programs. While the trend is toward centralized coordination, a significant number of institutions still have two or all three of these functions handled by separate departments that report to the president. It is not uncommon to find professional positions duplicated in all three departments; for example, in the same institution the public relations, development, and alumni offices may each have publications editors and writers.

One of the new systematic management approaches is program planning and budgeting. Employment of this technique should enable an institution to benefit from the experience and talents of persons from several departments. Properly conducted, programmatic planning has a built-in evaluation system which provides alternative solutions and costs. Again, if properly handled, program planning would make it difficult for programs and activities to continue beyond their productivity.

Another management technique being used increasingly in industry is management by objectives. The concept of this system is to manage an activity through agreed-upon objectives among levels of personnel. This method can also provide a means of evaluating personnel performance and results. Further, it can be employed in areas which do not have readily identifiable quantitative measurements.

Any management system—but particularly program planning and budgeting or management by objectives—requires a sound information data base to be effective. Reliable data (see section entitled, "Staying in Control") are needed by an institution for its own planning, implementing, and evaluating purposes, and for comparative analysis with similar programs at other institutions. Other than measuring the amount of gift income received, there are few quantitative measures for evaluating the effectiveness of public relations and fund raising programs that have been developed.

Educational Management Academy. Unquestionably the imperative which would have the greatest long-range benefit to higher education would be the development of an educational management academy. Centers and departments for the teaching of higher education administration are now in existence. Their focus, however, has not been on continuing professional education for the practicing college administrator. Conferences and workshops sponsored by associations and firms have probably done more to advance the state of the college management art than any other vehicle, including publications. But, by its very nature, the conference/workshop is not the most effective and efficient teaching mechanism. The reasons are obvious: short time span, limited degree of coordinated planning among sessions and speakers, speakers rather than teachers, too broad a subject for time allowed, convention atmosphere, speakers "carry" the program rather than teachers who are augmented by resource people, little or no prior preparation on part of persons attending, "same old faces" or hot "personalities" are selected as speakers. We could go on and on. But each item would be a criticism of the conference/workshop *system* rather than of individuals or purpose.

An independent educational management academy—with a core faculty augmented by expert practitioners as resource personnel—would overcome most of the limitations of a conference/workshop system. The suggestion would be to augment—not replace—our present conference/workshop structure with an educational management academy designed for the continuing professional education of all categories and levels of college administrators. The academy would take into consideration the special needs and working experience of administrators by offering them a practical and efficient way to extend existing knowledge and perfect new administrative skills. Providing the professional tools for the administrator to progress vertically (advancement from department head, to dean, to provost, to president) and horizontally (advancement through experience in various departments—student personnel, business office, development office to president) would be the principal objective of the management academy. The military and private industry have done a far better job of continuing professional education than have the colleges and universities, which are in the business of education. In essence, higher education has not planned for the growth and development of a crucial ingredient—its own managers—in its continued survival as a viable American institution.

If institutions would incorporate flexibility as a way of life, adapt and implement existing management techniques that have proved successful in government and industry, and subscribe to an educational management academy supplemented by a systematic on-the-job training program, there seems little doubt that they could survive and even prosper in what appears will be the alien climate of the seventies.

Public Affairs: An Emerging College Management Field

Part I—The State Legislature

In a simple sentence or two, it would be difficult to characterize higher education's attitude toward and involvement with state legislatures. Until recently, most private institutions felt little reason to acknowledge the existence of such governmental bodies. And a number of state universities and colleges conducted legislative affairs (except for the compilation and submission of the budget request) with amazing indifference.

But times have changed.

The legislature is now an entity to be reckoned with by both public and private institutions. State universities and colleges no longer find themselves in a favored role; private institutions see state legislatures as sources of income to help meet inflation and rising costs.

To secure their appropriations most state colleges and universities have done relatively little—until recently—beyond the budget preparations and presentation process. Quite often statewide communication and persuasion activities were neglected or handled in an uncoordinated, after-the-fact manner. Wasted were such major assets as an informed, committed citizenry and the many professional talents on campus.

Increasingly, a political awareness is emerging at state universities. Few institutions have a systematic overall state relations program, but the need is rapidly becoming obvious. Such a program should be organized and staffed to take advantage of the professional communication and organizational skills already available on campus—although these skills usually are scattered among several departments or offices.

Preparation of the budget request and presentation of it by the president and other selected officers at legislative hearings are only two of the components to successful adoption of that budget. Some legislators need to understand—in simple language and figures—the rationale for the various components of this complex document. Others need only the broad picture, but still must be persuaded that the institution's request is in their and their constituents' best interests. Several observers of university-legislature relationships have been critical of the institutional attitude that the legislature owes the institutions their budget requests "just because." Legislators have also commented on the all-too-often "superior air" of university faculty and administrators.

Institutions of higher education have finally realized that they have lost their uncontested position as an absolute necessity and value for society. Today, no institution can depend on influence or prestige to get a budgetary *carte blanche*. Legislators are reluctant to increase taxes, and in most states, demands for funding are outstripping sources of revenue. Education is further handicapped by competing requests from agencies with seemingly more urgent appeals in such areas as health, urban problems, old age, and ecology.

During the sixties, the growth period for higher education corresponded with a relatively easier revenue situation than today's. Consequently, many states dramatically increased the number of public institutions of higher education at the same time they were increasing appropriations to existing institutions. The problem—now and in the next several years—will be one of testing that commitment to see if funding will be at a bare-existence level, or in amounts adequate to support quality programs at all of a state's educational institutions. Recent legislative performance in a number of leading states does not build optimism for the latter.

The level of taxation is in direct proportion—though sometimes belatedly so—to the public's un-

derstanding and agreement with the allocation of its tax dollars. All too often, public entities—colleges, hospitals, social welfare groups, etc.—forget the power of informed, action-oriented public opinion. Attitudes must be mobilized within the state to persuade certain legislators, and provide assurance to other legislators that their instincts and desires are in concert with the wishes of the citizenry. Higher education would be well advised to make its case in the public interest and as part of any other post-secondary educational opportunities available to the public.

All of the arguments of the sixties are still valid, but to a different degree. What has changed are the electorate and individual values. A significant portion of the electorate is young and was on campus during the bitter incidents of the mid- and late-sixties. On the other hand, many older citizens still carry stereotypes of promiscuous administrators, spoiled students, and irresponsible faculty. A great gulf of understanding exists, and this gulf of understanding is not conducive to much more than hold-the-line expenditures for colleges and universities.

Private institutions seeking public tax funds face the same chilly climate. Their problem is compounded by the need to sell a new idea—public tax monies to private institutions—and on occasion, to overcome legal barriers, all in the face of increasing state fiscal problems.

All types of institutions must work together for their common interest. At the same time, each must develop individual programs to meet changing conditions. The allocation of staff and resources, of course, will vary among institutions.

In a state university it would be highly desirable to have all activities of the state relations program coordinated under one manager who reports directly to the president. An institution's realization of its budget requests can be divided into six stages:

(1) Preparation;
(2) Presentation;
(3) Legislative persuasion;
(4) Citizen persuasion;
(5) Coordination of items 3 and 4 into an action plan;
(6) Final compromise and appropriation.

It would seem obvious that in items 2 through 5 professional skills other than in accounting would be necessary if the requested budget is to be obtained.

Among state institutions it is extremely difficult to generalize as to the best method to improve state support. Institutions that work under a common board of higher education may be inhibited in direct contact with members of the state legislature. If a common board has been established to prevent curriculum overlap and duplication rather than to serve as a buffer for financial appeals to the legislature, then the system is viable and, in all probability, economically desirable. If, on the other hand, the common board is designed *(de facto)* to filter financial requests and protect the legislators from individual appeals, the procedure works to the detriment of individual institutions and often to the detriment of the best interests of the citizens. Healthy competition, rather than coercion or compromise, is more likely to produce an effective educational system. What is needed is a method whereby institutions under a common board can make their individual proposals heard, still maintaining desirable cooperation and coordination. This is a most delicate balance.

An institution that has direct access to the legislature should coordinate—under one manager—the six stages listed above. An ongoing systematic program should be established to inform and persuade legislators and citizens of the state about the institution's objectives. While emphasis and specific issues will vary from year to year, regularly established and substantively informed citizens and alumni groups will perform much better than ad hoc committees hastily assembled for a specific purpose. Several universities have community leaders or alumni organized to help move the budget through the legislature, but few have these groups coordinated with the budget presentation and legislative persuasion operations. Only a handful of state universities bring to bear the influence and stature of alumni and friends on legislative matters. In fact, in a survey of the state university members of the Association of American Universities, nine of the 20 responders did not have what they considered a formally organized legislative relations program.

Beyond the obvious importance of employing informed and committed citizens in the legislative process, many institutions fail to achieve maximum utilization of information programs, special events, and regular and special publications. It is not uncommon to find the public relations and publications offices conducting "business as usual" without regard to the current legislative situation. In fact, it would be the exception to find an institution which provided broad and specific objectives to the news bureau operation in an effort to change the legislative climate. Most educational institutions apparently do not concur in the desirability of such action—or do not feel the news bureau is an important element in attempting to explain complex issues to the legislature and to the citizenry.

It is our observation that institutions which placed their state relations, alumni, development, and public relations activities under one manager tended to be more effective in the total utilization of institutional resources on legislative matters. Where the various mentioned components of a sound legislative program were not under one manager, there tended to be relatively little coordinated effort. Although it would not be difficult to set up a legislative

appropriation task force—or some such similar management technique—the approach was seldom employed unless direct management was present.

In private institutions, the management of a state liaison program will depend upon the form and extent of state support. If state assistance is in the form of scholarship aid, the administrative function probably can best be handled in the student financial aid office. If construction funds or unrestricted grants are possible under the particular state program, it would seem that the business office and communications people should be closely coordinated to assure maximum results.

In instances where private institutions have banded together to make a united approach for the inauguration (or expansion) of state assistance to private colleges and universities, all resources available to the various institutions should be used. Although the presidents are obviously the key figures, they must delegate the ongoing implementation of a well-planned program to immediate subordinates. The program should have coordinated management among the private institutions within the state as well as within the individual institution.

Part II—The Federal Government

Probably the best way to describe college and university involvement with the federal government during the sixties is to say that it came *after*, not *before*, the appropriation. While there is no one meaningful figure for all purposes, federal involvement in higher education increased almost fivefold during the past decade and now approaches $5 billion annually. Prior to the Higher Education Facilities Act of 1963, the National Defense Education Act (1958) and G.I. Bill (1944) were the most significant pieces of legislation affecting higher education since the Morrill Acts of 1862 and 1890.

The relative recentness of the federal commitment to higher education and the generally "positive image" of higher education throughout most of the past decade are probably the two chief reasons for institutional concentration (to the degree that there was concentration) on securing whatever monies were appropriated. Colleges and universities had all they could do to keep up with getting their piece of the pie, and the questions of amount and direction of federal support seemed much less important.

But about 1967-1968, the climate in Congress began to change. Campus turmoil, the Vietnam war, and other monetary demands had their effect on congressional attitudes toward colleges and universities. Institutions also suffered reversals because of federal cutbacks or redirection of categorical support.

One of the main lessons learned was that there *is* a political dimension to the allocation of federal funds. Often this all-pervasive fact was neglected or deemed unimportant by academe. Many faculty and staff knew the halls of the National Science Foundation, the National Institutes of Health, and the Office of Education better than they knew the halls of their own institutions. But these same people rarely called on the congressmen or the senators who were responsible for these appropriations. The evidence of what might be called "congressional neglect" was noted by many of those involved with stating higher education's case at the time of the Tax Reform Act of 1969. Higher education was inexperienced in engaging in congressional liaison or grass roots politics in its own behalf.

But the experiences with the Tax Reform Act and with the appropriation battles of the past few years (which saw the establishment of the Emergency Committee for the Full Funding of Education) have had their effect. More and more institutions are now recognizing the impact the federal government can have on their future.

In a recent survey conducted by ACPRA, of 40 major research-oriented public and private universities, only 50 percent had what they called a program of congressional liaison—and a number admitted to its modest proportions. Prior to the last five years, among the many Washington-based higher education associations only the American Council on Education (through its Commission on Federal Relations), the Committee on Governmental Relations of the National Association of College and University Business Officers, and the National Association of State Universities and Land-Grant Colleges maintained active congressional liaison. Since that time, federal relations staffs have been added by more than half a dozen associations. Still others are directing more program emphasis to federal programs.

No clear pattern of handling federal liaison has emerged. Several universities maintain Washington offices; others retain special counsel; still others receive assistance through consortia. But the emphasis continues on obtaining grants from existing programs, and governmental liaison tends to be with federal agencies, not with the Congress.

Rather than maintain a Washington office, or a Washington representative, a number of institutions have one or more persons regularly assigned to "cover" Washington. The frequency of visits and the lines of communication within the institution vary. Some of these individuals report directly to the institutional president, others to research, to the chief academic officer, to the business or development officers.

The vast majority of institutions, however, have no federal involvement plan of their own and, with few exceptions, are not in a position to offer grass roots political support to national bodies. The point

so often made in the past—that most colleges and universities have nothing to gain, i.e., dollars from Washington—may have had some validity with respect to research monies, but no longer is this point valid in light of the political realities of the seventies.

While it may be difficult, even unnecessary, for smaller institutions to have their "man in Washington," political effectiveness will come only from a changed campus attitude. The degree and direction of individual institutional involvement must be determined in view of many factors: curriculum, student body composition, educational philosophy, research orientation, geographical location, etc. Institutions must have internal machinery established to inform themselves adequately of both the financial and political roles of the federal government. Beyond this, they must be able to pursue a course of action, singular or in concert with other institutions, to assure that their voice is heard in the Congress. In most cases, governing board members or executive officers should perform the more visible portions of the institution's federal liaison program, but daily direction of the program requires regular staff.

The "why" of a federal relations program for each institution should be fairly obvious in these days of cutbacks and increasing competition for the federal dollar. A federal relations program should be designed to recognize and help influence political considerations present in all aspects of federal government operations, be they allocation of grant funds or passage of legislation.

When the term "influencing political considerations" is used, the connotation within educational circles is often one of influence peddling or of the corrupt lobbyist circumventing the established political process. It is neither desirable nor necessary for higher education to conduct its liaison activities in the shadows, and it is absolutely imperative that college administrators rid themselves of the idea that there is a stigma attached to government liaison. It is impossible for a congressman or senator to know what is needed or all of the ramifications of a piece of legislation. Our national legislators must depend on ideas and information supplied from various sources, and with few exceptions, they sincerely desire the opinions of constituents. Establishing credibility is essential for a successful federal relations program.

Whether it be a grant proposal, a request for interpretation of a regulatory agency policy, or an appropriation request, compiling the necessary information is only one of the ingredients for getting federal action. Preparing the information in an understandable and persuasive form; presentation by whom, to whom, and when; and follow-through are also vital considerations.

American business has already recognized the increasing influence government is having on its operations. Further, business has recognized that its "side" does not automatically get to the Congress. Consequently, in addition to the long-standing practice of resident or retained Washington representation (the lobbyist), business firms are developing ongoing public affairs programs, many of which are headed by a vice president.

The answer to what constitutes a federal relations program varies by institution. A few institutions would continue their current programs, modifying them as conditions change. Others would expand their grant- and research-oriented Washington activities. Still other institutions would want to develop new and completely integrated programs. Federal relations programs should be designed so that one institution can work well with other institutions and with associations on legislation and policies of common interest. There should be an ongoing, substantive information program combined with Washington briefings and on-campus visitations. The audience for the program would be the members of the legislative and executive branches of government. And the purpose of the program should be to create a better understanding of the role of higher education generally and the particular institution specifically.

Higher education has learned a few lessons from its first serious flirtation with the federal establishment during the sixties. It has seen the consequences of making management decisions based on categorical federal support programs which are subject to reduction or elimination at the change of political winds. Business has learned to adapt because it is not as inflexible as are colleges and universities.

Hopefully, higher education has discovered that politics is a never-forgotten consideration in Washington, regardless of whether the government representative is a civil service employee or an elected congressman from a "secure" district. While members of Congress and the executive branch are "political" by nature, a sound argument, well made and couched in terms of the public interest, will always get its proper hearing.

Institutions also have discovered that federal involvement extends beyond the grant-making agencies. Issues such as minimum wage scales, equal employment opportunity, unemployment compensation, income tax policies, Federal Communications Commission regulations—to mention a few—have and will have great effects on higher education.

Colleges and universities are no longer considered quiet, highly-respected institutions serving a relatively small segment of the population. They are now quite visible, and many persons insist that they have become instruments of social—even po-

litical—policy. Public or private, colleges and universities operate in the public interest and survive—hopefully prosper—by the consent of the public.

In the years ahead, higher education might look back on the last half-dozen years as its basic survey course—Politics 101, if you will—in its political education. Congress, too, has learned a few things and probably will not again be as naive in its desires and expectations. Like state legislatures, Congress is requiring better documentation and more quantitative information.

By the most appropriate means, institutions must begin to develop formal federal relations programs designed to strengthen individual efforts to share in the already-available support pie. Such programs must at the same time be designed to aid in the clarification and further development of the federal government's role in higher education. In relative terms, in the seventies higher education's case will not be as easy to make, nor will it be as popular with Congress and the general public as it once was.

Cost of Institutional Advancement Programs

With few exceptions, in the past decade the cost of raising private gift dollars has increased substantially for America's institutions of higher education. But nowhere has the rise been more dramatic than among private colleges, many of which can ill afford the extra burden.

Compared with two previous studies described in "Behind the Statistics" the median cost of raising one dollar of gift money—by type of institution and gift-income range—is:

	1962-66	*1965-68*	*1967-70*
State universities	19¢	20¢	30¢
Over $1,000,000		17	20
Under $1,000,000		45	50
Private universities (All over $1,000,000)	11	10	12
Private colleges	20	17	22
Over $1,000,000		12.5	17
$500,000 to $900,000		14.5	22
Under $500,000		28	35

Although there was a marked increase in the cost of raising gift dollars, median institutional advancement program (IAP) expenditures as a percent of educational and general (E&G) expenditures remained about the same as medians in the 1965-68 study:

	1962-66	*1965-68*	*1967-70*
State universities	.8%	.8%	.8%
Over $1,000,000		.7	.7
Under $1,000,000		1.2	.9
Private universities (All over $1,000,000)	2.6	2.5	2.2
Private colleges	5.8	4.9	4.7
Over $1,000,000		5.0	5.7
$500,000 to $900,000		4.7	4.7
Under $500,000		5.2	5.2

At first glance, it would appear that the increased cost of raising a dollar is merely a part of the inflationary spiral because, on the whole, during 1967-1970 IAP expenditures represent about the same percentage of E&G expenditures as they did in 1965-68.

But that is not the point. The point is that in public and private institutions, total gift income did not rise as rapidly as total E&G expenditures rose in the same period. As a result, in most institutions, gift income has become a smaller percentage of the total income needed to operate these institutions.

One may speculate on the reasons why it now costs more to raise a gift dollar than it did in 1965-68:

- ¶ Costs for staff and support services have gone up.
- ¶ Personnel and budget are now being used to attract federal and state support in addition to private gift dollars.
- ¶ Widespread campus disturbances of the late sixties affected gift income.
- ¶ Recession and increasing concern over job security reduced the size of some gifts.
- ¶ Inflation reduced the purchasing power of the gift dollar.
- ¶ The Tax Reform Act of 1969 discouraged some donors.
- ¶ Increased competition for support from health, social, and welfare agencies reduced the number of gift dollars available to colleges and universities.
- ¶ The importance of philanthropy declined as people looked to the government for the financing of public interest activities.

Additionally, it could be conjectured that most institutions have not altered their public relations and development techniques sufficiently to take into consideration rising costs, changing attitudes among

Behind the Statistics

To plan for the future, it is necessary to study patterns of gift income, advancement program costs, staff sizes, managerial salaries, and other data from the past.

Figures quoted in this study are three-year averages of expenditures and gift income, excluding bequests, for the years between 1967-70.

Included in the sample are:

State universities	26
Private universities	17
Private colleges	126
Total	169

All institutions included in the sample are regionally accredited, and the generally accepted criterion for distinguishing colleges from universities was employed. The 169 institutions were selected from 180 colleges and universities that responded to a questionnaire mailed to 220 institutions in November, 1970. (Eleven of the 180 questionnaires returned were not usable.) Included in the 220 institutions were the 189 colleges and universities which provided the data for a 1965-68 survey published as "Output-Input?" in *College and University Journal*, Fall, 1970.

Excluded from the study were two-year colleges, state colleges, and those institutions which received less than a three-year average of $100,000 in gifts, not including bequests. Advancement program expenditures include costs of information services, publications produced for public relations and development purposes, fund raising, and alumni relations programs as well as total salaries of all professional, secretarial, and clerical staff. Gift income figures are three-year averages, excluding bequests but including current and capital funds. Gift income figures were obtained from the annual reports compiled by the Council for Financial Aid to Education (CFAE).

Standard definitions for educational and general (E&G) expenditures (which include student aid) and for gift income were employed in the study. The term "institutional advancement program" (IAP) is employed as a convenience to denote those various activities designed to advance the understanding and support of colleges and universities: information services, fund raising, alumni relations, publications, and state and federal relations.

Institutional Advancement Program expenditures include salaries and fringes (if services are contributed a realistic dollar amount is included), and operating costs for functions and/or departments such as public relations, publications, information services, news bureau, development, fund raising, alumni activities, constituency relations, etc. Cost of publications is included for such publications which are printed primarily for use in the IAP. While the catalog and certain admissions and student publications are used by information services, development, and alumni offices, they are not primarily fund raising or public relations publications and costs are not included. Also not included are expenditures for university presses, broadcast stations or print shops, other than those expenditures incurred in conducting advancement program activities.

Mentioned in the study are two previous studies conducted over the years 1962-66 and 1965-68. The sampling used in those studies was:

1962-66	State universities	19
	Private universities	12
	Private colleges	74
	Total	105
1965-68	State universities	30
	Private universities	19
	Private colleges	140
	Total	189

All these studies have been funded by grants from the Esso Education Foundation and have received the generous support and interest of the executive director of that foundation, Dr. Frederick deW. Bolman.

Results of the 1962-66 study were incorporated in the book, *Focus on Understanding and Support: A Study in College Management*, by John W. Leslie, with statistical analysis prepared by Annette L. Bacon and Charles Newton (ACPRA, 1969).

constituents, and altered giving patterns among the public. Innovation has always been the handmaiden of productivity.

An increasing number of institutions are committing staff time and resources to state and federal programs—time which previously was invested in private fund raising. This is particularly true of private colleges and undoubtedly contributes in part to the increased cost of gift dollars among private colleges.

Tables 1-A, 1-B, and 1-C compare gift income (excluding bequests) to IAP expenditures by type of institution. All figures are three-year averages, and dollar amounts are rounded off to the nearest amount shown in the headings—to the nearest million, hundred thousand, or ten thousand as the case may be.

Among the state universities (1-A) it will be noted that almost two-thirds (17) of the institutions in the study expend around $300,000 to $500,000 on their advancement programs. The median expended by institutions with gift income over $1,000,000 is $400,000; for those receiving under $1,000,000 in gift income, the IAP expenditures median was approximately $250,000.

Among the 17 private universities (1-B) represented in the study, one-third expend in excess of $900,000 a year for institutional advancement programs.

The private colleges (1-C) *raising $1,000,000 or more in gifts* show an expenditure pattern similar to that of the private universities. Those private colleges *raising less than $1,000,000 in gift income* exhibit an expenditure distribution pattern similar to that of the state universities. Note, however, the wide range of expenditures to get the same gift income. One institution spends $400,000 to attract $1,000,000 in gift income, while another expends only $100,000 for the same number of gift dollars. Obviously, then, many factors affect both gift income and expenditures: allocation of professional staff, skill of the staff, affluence of the constituency, geographical location, to name just a few of the factors.

It is interesting to divide the institutions into quartiles according to gift income (Figure 1) and IAP expenditures (Figure 2)—and then compare median expenditures and gift income, respectively:

Figure 1

Quartile	*Gift-Income Range*	*Median IAP*	*Number of Institutions*
1st	$1,000,000 to $3,000,000	$300,000	32
2nd	$ 750,000 to $1,000,000	$150,000	31
3rd	$ 350,000 to $ 750,000	$110,000	32
4th	$ 200,000 to $ 350,000	$ 90,000	31

Figure 2

Quartile	*IAP Range*	*Median Gift Income*	*Number of Institutions*
1st	$ 200,000 to $ 400,000	$1,100,000	30
2nd	$ 140,000 to $ 200,000	$ 800,000	32
3rd	$ 100,000 to $ 140,000	$ 600,000	31
4th	$ 50,000 to $ 100,000	$ 300,000	33

TABLE 1 — Gift Income Compared to Institutional Advancement Program (IAP) Expenditures

1A — STATE UNIVERSITIES

Gift Income (millions)	IAP Expenditures (thousands) $1,000	$900	$800	$700	$600	$500	$400	$300	$200	(a)$175	Totals
$10.0+	1										1
9.0											0
8.0											0
7.0											0
6.0											0
5.0	1				1						2
4.0						1	2				3
3.0								1			1
2.0			1		1		1	4			7*
(a)1.5											0
1.4						2	1				3
1.3							1				1
1.2											0
1.1						1			1		2
1.0											0
.9							1				1
.8											0
.7											0
.6											0
.5								1	1		2
.4								1	1	1	3
Totals	2	0	1	0	2	4	6*	7	3	1	26

(a) Note change in scale * Median

TABLE 1 (Cont.)— Gift Income Compared to Institutional Advancement Program (IAP) Expenditures

1B — PRIVATE UNIVERSITIES											
Gift Income (millions)	IAP Expenditures (thousands)										Totals
	$1,000	$900	$800	$700	$600	$500	$400	$300	$200	(1)$175	
$10.0+	2			1							3
9.0	2						1				3
8.0											0
7.0						1					1
6.0	1										1
5.0					1	1					2*
4.0							1				1
3.0		1						1			2
2.0											0
(1)1.5											0
1.4						1					1
1.3								1	1		2
1.2											0
1.1							1				1
1.0											0
.9											0
.8											0
.7											0
.6											0
.5											0
.4											0
Totals	5	1	0	1	1	3*	3	2	1	0	17

(1) Note change in scale * Median

1C — PRIVATE COLLEGES																			
Gift Income (millions)	IAP Expenditures (thousands)																		Totals
	$400	$300	$200	(1)$190	$180	$170	$160	$150	$140	$130	$120	$110	$100	$90	$80	$70	$60	$50	
$3.0		1																	1
2.0	1	2			1				1										5
(1)1.9	1																		1
1.8		3																	3
1.7	2	1																	3
1.6																			0
1.5	1		2					1											4
1.4	1						1												2
1.3							2	1											3
1.2		1	1																2
1.1		2	1	1				1			1								6
1.0	1	3	2	1				2	1	2			1						13
.9		2								2	1		1						6
.8			2		1		1	1	1			3	1						10
.7		1				1		2				1		1	1				7*
.6						1	2	1	1	3		4		1	2		1		16
.5			2					1			1	2	1		1	2			10
.4		1				1		1	1			1	2	1		2			10
.3									1		1		3	2		3	2		12
.2											1		3	4	1	1	1	1	12
Totals	7	17	10	2	2	3	6	11	6*	7	5	11	12	9	5	8	4	1	126

(1) Note change in scale * Median

HOW TO GET THE MOST OUT OF TABLE 1:

Determine precisely what your institution averaged the last three years in terms of gift dollars (excluding bequests, but including both current and capital gifts). Determine, also, precisely what the average IAP expenditures were the last three years. (Include salaries as well as costs of projects, etc.) Having these two figures, then find the table (A, B, or C) that describes your type of institution. On the assumption that you want your institution to do at least as well as the median, locate the medians on the table and determine how well your institution did. For example, if your institution is a private college, then you should have spent no more than $140,000 in your IAP, and for that expenditure, you should have realized at least $700,000 in gift income. If your record is not that good, then make a self-study to determine why. Figures for one year, rather than three-year averages, can be used, but can distort the comparison if there were unusual variations in either figure.

TABLE 2 — Institutional Advancement Program (IAP) Expenditures as Percent of Educational and General (E&G) Expenditures

IAP as percent of E&G	STATE UNIVERSITIES		PRIVATE UNIVERSITIES	PRIVATE COLLEGES		
	Gift Income Ranges		All Gift Income	Gift Income Ranges		
	Under $1,000,000	Over $1,000,000	Over $1,000,000	Over $1,000,000	$500,000 to $900,000	Under $500,000
10.0+ %					1	
9.5-9.9				1	1	
9.0-9.4						
8.5-8.9					1	
8.0-8.4				3		1
7.5-7.9				2	1	1
7.0-7.4				6		1
6.5-6.9				3	1	2
6.0-6.4				5	2	4
5.5-5.9				3*	3	6
5.0-5.4				1	6	3*
4.5-4.9				4	6*	5
4.0-4.4				6	10	2
3.5-3.9			1	4	7	5
3.0-3.4			3	4	7	2
2.5-2.9			2		1	2
2.0-2.4			6*	1	1	
(1) 1.9		1			1	
1.8			2			
1.7			2			
1.6	1					
1.5	1					
1.4		1	1			
1.3						
1.2		3				
1.1						
1.0	1	2				
0.9	1*	1				
0.8		2				
0.7		4*				
0.6	1	1				
0.5	1	2				
0.4		2				
0.3		1				
0.2						
0.1						
Totals	6	20	17	43	49	34

(1) Note change in scale   * Median

Table 2 indicates the percentage of the E&G budget that individual colleges and universities allocate to the institutional advancement program. Understandably, universities with large research and public service budgets expend a smaller percent of the E&G budget than do private colleges. In addition, public universities historically have depended heavily on state appropriations and have generally not engaged large fund raising staffs; therefore, these institutions require a smaller percent of the E&G budget for IAP expenditures.

It will be noted in Table 2 that only one state university expends as much as 1.9 percent of the E&G budget—and only one private college spends that small a percentage.

Tables 3 and 4 compare the cost-per-gift-dollar with IAP expenditures (Tables 3-A and 3-B) and with gift income (Tables 4-A, 4-B, and 4-C), respectively.

As in previous studies, these tables are designed to enable managers and administrators to compare IAP expenditures, gift income, and cost per gift dollar in several ways.

HOW TO GET THE MOST OUT OF TABLE 2:

From the annual audit or from the CFAE survey, find out exactly what your institution's E&G expenses were the last three years. Figure what percent of E&G was consumed by IAP expenditures as determined for Table 1. (Divide average E&G expenditures into IAP expenditures.) Then, find the column on this table that describes your institution and locate the median. If your percentage is higher than the median, then you have grounds for concern. For example, if you are a private university (with gift income over $1,000,000) and your IAP expenditure is 3.1% of the E&G figure, then your IAP expenditures are above the median (which is 2-2.4%). The same comment on one-year figures as mentioned for Table 1 applies.

TABLE 3 — Cost-per-gift-dollar Compared to Institutional Advancement Program (IAP) Expenditures

3A — STATE UNIVERSITIES

Cost-per-gift-dollar (in cents)	Institutional Advancement Program Expenditures (thousands)											Totals	
	$1,000	900	800	700	600	500	400	300	(1)250	200	(1)175	Over $1,000,000	Under $1,000,000
5-9¢	1											1	0
10-14					1		2	1	1			5	0
15-19						1	1	2				4	0
20-24								1	1			2*	0
25-29	1											1	0
30-34					1		2					3	0
35-39						2						2	0
40-44			1						(1)			1	1
45-49						1	(1)				(1)	1	2
50-54								(1)					1*
55 & Over								(1)	(1)				2
Totals	2	0	1	0	2	4	6	6	4	0	1	20	6

(1) Note change in scale * Median ( ) Indicates institution with gift income under $1,000,000

3B — PRIVATE UNIVERSITIES

Cost-per-gift-dollar (in cents)	Institutional Advancement Program Expenditures (thousands)											Totals	
	$1,000	900	800	700	600	500	400	300	(1)250	200	(1)175	Over $1,000,000	Under $1,000,000
1-4¢							1					1	0
5-9	1			1		2		1				5	0
10-14	3						1					4*	0
15-19					1			1		1		3	0
20-24	1											1	0
25-29												0	0
30-34		1					1					2	0
35-39						1						1	0
Totals	5	1	0	1	1	3*	3	2	0	1	0	17	0

(1) Note change in scale * Median

TABLE 3 (Cont.) — Cost-per-gift-dollar Compared to Institutional Advancement Program (IAP) Expenditures

3C — PRIVATE COLLEGES

Cost-per-gift-dollar (in cents)	Institutional Advancement Program Expenditures (thousands)																		Totals
	$400	$300	$200	[1]$190	$180	$170	$160	$150	$140	$130	$120	$110	$100	$90	$80	$70	$60	$50	
Gift Income: $1,000,000 & Over																			
5-9¢					1				1										2
10-14		2	1				3	4	1	2	1		1						15
15-19	2	5	2	2				1											12*
20-24	2		3																5
25-29	2	5																	7
30-34		1																	1
35-39																			0
40-44	1																		1
Totals:	7	13	6	2	1	0	3	5	2	2	1	0	1	0	0	0	0	0	43
Gift Income: $500,000 to $900,000																			
5-9¢																	1		1
10-14										1	1	2	2	1	3	2			12
15-19								1	1	1		6		1	1				11
20-24					1		2	2	1	3		2	1						12*
25-29			2			2	1	1			1								7
30-34		2						1											3
35-39		1																	1
40-44			1																1
45-49																			0
50-54			1																1
Totals:	0	3	4	0	1	2	3	5	2	5	2	10	3	2	4	2	1	0	49
Gift Income: Under $500,000																			
5-9¢																			0
10-14																			0
15-19																2			2
20-24														1		1	2	1	5
25-29												1	2			2	1		6
30-34								1					2	1					4
35-39									1		1		1	1					4*
40-44														1		1			2
45-49						1							2		1				4
50-54									1		1		1	2					5
55-59		1												1					2
Totals:	0	1	0	0	0	1	0	1	2	0	2	1	8	7	1	6	3	1	34

[1] Note change in scale * Median

HOW TO GET THE MOST OUT OF TABLE 3:

Divide IAP expenditures as determined for Table 1 expenses by the gift income figure used in Table 1 to determine the cost (in cents) of raising one dollar of gift income. Then find the table that pertains to your institution and see what the median cost is of attracting one gift dollar. If your cost is above the median, investigate. For example, assume that yours is a state university (with gift income in excess of $1,000,000). You are now expending $800,000 to raise $2,000,000. This means that you are spending 40¢ to raise one dollar—double the median (which is only 20¢). This fact should be a red flag. Are there mitigating circumstances, or is yours an operation that may need overhauling to make it more efficient?

HOW TO GET THE MOST OUT OF TABLE 4:

Whereas Table 3 compared cents-cost per gift dollar with IAP expenditures, Table 4 compares fund raising cost to three-year gift income averages as determined for Table 1. It will be noted that generally as costs increase, gift income decreases. Consult the table (A, B, or C) that refers to your institution. By plotting your institution's position you will be able to see how it falls in the pattern of other institutions.

TABLE 4 — Cost-per-gift-dollar Compared to Gift Income

4A — STATE UNIVERSITIES

Gift Income (millions)	Cost-per-gift-dollar (in cents) 1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	Over 55	Totals
$10.0+		1											1
9.0													0
8.0													0
7.0													0
6.0													0
5.0			1			1							2
4.0			2	1									3
3.0			1										1
2.0			1	3	1		1		1				7
(1)1.5													0
1.4							1	2					3
1.3							1						1
1.2													0
1.1					1					1			2
1.0													0
.9										1			1
.8													0
.7													0
.6													0
.5									1		1		2
.4										1		2	3
Totals:	0	1	5	4	2	1	3	2	2	3	1	2	26

(1) Note change in scale

4B — PRIVATE UNIVERSITIES

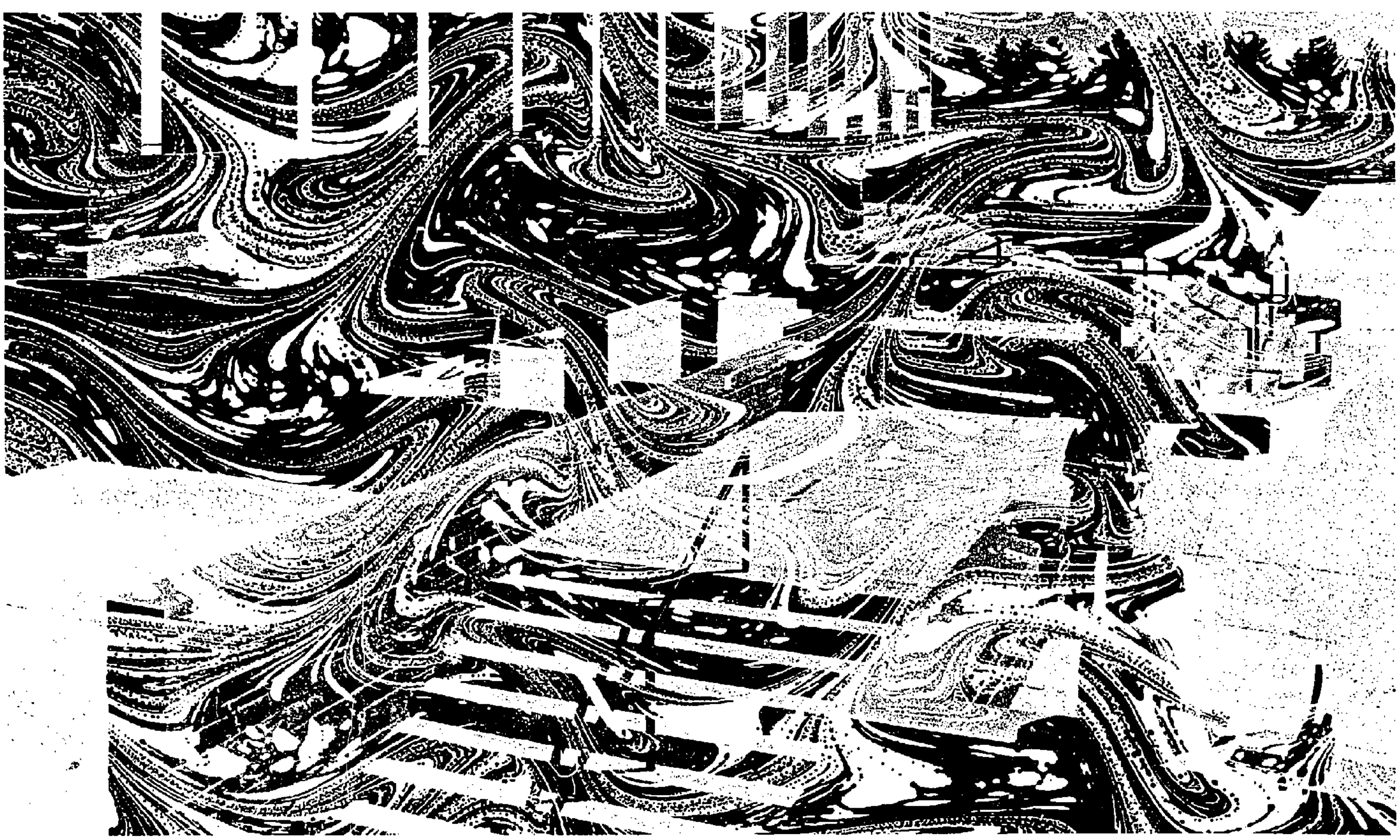
Gift Income (millions)	Cost-per-gift-dollar (in cents) 1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40-44	Totals
$10.0+		2	1							3
9.0	1		2							3
8.0										0
7.0		1								1
6.0					1					1
5.0		1		1						2
4.0			1							1
3.0		1					1			2
2.0										0
(1)1.5										0
1.4								1		1
1.3				2						2
1.2										0
1.1							1			1
1.0										0
.9										0
.8										0
.7										0
.6										0
.5										0
.4										0
Totals:	1	5	4	3	1	0	2	1	0	17

(1) Note change in scale

TABLE 4 (Cont.) — Cost-per-gift-dollar Compared to Gift Income

4C — PRIVATE COLLEGES													
Gift Income (millions)	Cost-per-gift-dollar (in cents)												Totals
	1-4	5-9	10-14	15-19	20-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	
$3.0			1										1
2.0		2	1	2									5
[1]1.9				1									1
1.8				3									3
1.7				1	2								3
1.6													0
1.5			2	1		1							4
1.4			1			1							2
1.3			3										3
1.2				1		1							2
1.1			2	1	1	2							6
1.0			5	2	2	2	1		1				13
.9			3	1			2						6
.8			2	4	2	2							10
.7			3		2	1		1					7
.6		1	2	5	5	3							16
.5			2	1	3	1	1		1		1		10
.4				2	1	3	1	1		1		1	10
.3					3	2	3	3			1		12
.2					1	1			2	3	4	1	12
Totals:	0	3	27	25	22	20	8	5	4	4	6	2	126

[1] Note change in scale



Costs-Per-Gift-Dollar Rise: IAP Expenditures Proportionately Less

A comparison of 140 colleges and universities in the two most recent studies (1965-68 and 1967-70) points up conclusively that the cost of raising gift dollars is increasing, and at the same time institutions are allocating a decreasing proportion of their education and general (E&G) expenditures to institutional advancement programs (IAP). (See Tables 5 and 6.)

The number of institutions in this sampling—by type and range of gift income—was:

State universities		
Under $1,000,000 Gift Income	6	
Over $1,000,000 Gift Income	14	
Total		20
Private universities		
All over $1,000,000	16	
Total		16
Private colleges		
Over $1,000,000 Gift Income	35	
$500,000 to $900,000 Gift Income	39	
Under $500,000 Gift Income	30	
Total		104
Grand Total		140

The cost-per-gift-dollar increased in two-thirds (91) of the institutions. And 21 of the 91 (23%) had cost-per-gift-dollar increases of 50% or more. (Table 5.)

More than half (57%) of the institutions received a smaller proportion of E&G funds to invest in IAP, while only a third (45) received a larger proportion of E&G appropriations. (Table 6.)

Table 5 indicates that more private colleges (75%) were harder hit by cost-per-gift dollar increases than were public and private universities (44%). No correlation existed between the increase or decrease (or degree thereof) of gift income and changes in costs or percent allocation of E&G to IAP. At some institutions, cost-per-gift-dollar increased, and at the same time, gift income was higher. Other institutions experienced the reverse. Most institutions in which the IAP received a smaller percentage of the E&G allocation still had an increase in gift income, although it didn't keep up with the rise in E&G.

The fact that expenditures for IAP's have not kept pace with other E&G expenditures probably reflects the realities of inflation, rising costs of op-

eration, and faculty and curriculum pressures. In most educational institutions, administrative salaries have not kept pace with faculty salary increases, but the big difference probably comes in curriculum expansion, student aid, and instructional equipment —all of which have increased far greater than have the support services used in the IAP.

The facts illustrated in Tables 5 and 6 certainly document the need for dramatic departures in the focus and implementation of IAPs in the future.

TABLE 5 — Percent Change in Cost-per-gift-dollar from 1965-68 to 1967-70

	Percent Change in Cost-per-gift-dollar	STATE UNIVERSITIES: Gift Income Ranges: Under $1,000,000	STATE UNIVERSITIES: Gift Income Ranges: Over $1,000,000	PRIVATE UNIVERSITIES: All Gift Income: Over $1,000,000	PRIVATE COLLEGES: Gift Income Ranges: Over $1,000,000	PRIVATE COLLEGES: Gift Income Ranges: $500,000 to $900,000	PRIVATE COLLEGES: Gift Income Ranges: Under $500,000
Increase	100+ %		1			4	
	95-99					1	
	90-94					2	
	85-89					1	
	80-84						
	75-79				1		
	70-74	1					2
	65-69				1		
	60-64				1		1
	55-59			1			1
	50-54				1	2	
	45-49					3	3
	40-44			1	2		1
	35-39			1	3	2	1
	30-34			1	2	2	2
	25-29	1			2	1	1
	20-24				2	1	3
	15-19				3*		2*
	10-14	1	3	1	4	2*	2
	5- 9		1	3	2	3	3
	0- 4	*		*	1	1	3
Decrease	0- 4	1	2		3	2	
	5- 9		1*	2	1	3	1
	10-14		4	1	2	4	1
	15-19		2	1	1	2	2
	20-24	1		1	2	2	1
	25-29			1			
	30-34	1		1	1	1	
	35-39			1			
	Totals	6	14	16	35	39	30

* Median

HOW TO GET THE MOST OUT OF TABLE 5:

For each academic year between 1965-66 and 1969-70, compute the cost-per-gift-dollar. (Divide the total gift income into the total IAP expenditure for each of those years.) Find the average cost-per-gift-dollar for the years 1965-66, 1966-67, 1967-68. Then find the average cost-per-gift-dollar for the years 1967-68, 1968-69, 1969-70. (Yes, one year is repeated!) When you have these two averages, find out the percentage of increase or decrease between the averages of these two periods. In the appropriate column of the table, plot where your institution would stand, and compare that answer with the median. If your cost-per-gift-dollar has decreased, excellent!—providing your gift income has continued to rise over these years. On the other hand, if your cost-per-gift-dollar has increased, initiate studies to see how this increase can be reduced without adversely affecting gift income.

TABLE 6 — Percent Change in Institutional Advancement Program (IAP) Expenditures as Percent of Educational and General (E&G) Expenditures from 1965-68 to 1967-70

	Percent Change in IAP as Percent of E&G	STATE UNIVERSITIES		PRIVATE UNIVERSITIES	PRIVATE COLLEGES		
		Gift Income Ranges		All Gift Income	Gift Income Ranges		
		Under $1,000,000	Over $1,000,000	Over $1,000,000	Over $1,000,000	$500,000 to $900,000	Under $500,000
Increase	2.5-2.9%				1	1	1
	2.0-2.4					1	
	1.5-1.9				1		
	1.0-1.4				1	4	1
	0.9[1]						1
	0.8					1	1
	0.7					1	1
	0.6					1	1
	0.5				2	2	1
	0.4					1	2
	0.3			1	2	1	1
	0.2			3	2	3	
	0.1	1	2		1	1	1
	0	2	6*		4	2	2
Decrease	0.1	1	4	1	2		2
	0.2	1	1	3	2*	2*	6*
	0.3		1		4	4	2
	0.4	1		*	4	4	
	0.5			1			1
	0.6			1	3	3	2
	0.7			1	1	1	1
	0.8			1	1	1	1
	0.9			1	2	2	
	1.0-1.4[1]			2	3	3	1
	1.5-1.9			1	3		
	2.0-2.4				1		1
	2.5-2.9						
	3.0-3.4						
	3.5-3.9				1		
	Totals	6	14	16	35	39	30

[1] Note change in scale * Median

HOW TO GET THE MOST OUT OF TABLE 6:

For each academic year between 1965-66 and 1969-70, find out what percent of the E&G budget was expended for the IAP. (Divide the E&G expenditures into the IAP expenditures for each of these years.) Then compute the average percent of change for the three-year period from 1965-1968. Do the same for the three-year period from 196.-1970. With these two averages, determine the percentage of increase or decrease between the two three-year periods. Then, on this table, plot that percentage. If you are getting an increased percentage of the E&G budget, fine!—providing you can demonstrate that you have made this increase pay off in a proportionately increasing gift income. If you can continue to show an increase in gift income although you are getting a smaller percentage of the E&G budget, it may show that your efficiency is increasing. But if gift income is not increasing as fast as the E&G budget is increasing—and you are getting the same or proportionately less of the E&G budget—try to determine if the IAP objectives and method of implementation need rethinking.

Salary Information, Staff Sizes, Organizational Patterns and Trends

The size of IAP staffs varies greatly among institutions in similar gift-income brackets. At the same time, the larger an institution's gift income and advancement program expenditures, the less it tends to spend proportionately on salaries of all staff.

Private college professional staff sizes seem to vary less within gift-income brackets than do the larger state and private university staffs. (See Tables 8-A and 8-B.) Of the 126 private colleges, only seven had staffs of more than ten professionals. On the other hand, there were only three two-person staffs and 13 with three individuals. Median for all private colleges was five.

The median for private universities was 19, but only three of 26 state universities exceeded that number. Allocation of professional staff among public relations, alumni, and fund raising duties varies in all types of institutions. An earlier ACPRA management study indicated that institutions which had proportionately larger staffs in public relations and alumni than in fund raising tended to receive less gift income and have higher gift-dollar costs than institutions which allocated personnel in the reverse fashion. Evidence indicates this finding is still true.

In a comparison with two previous studies, median professional staff size increased slightly between the years 1967-68 and 1970-71. The median staff size by type of institution according to gift-income range follows:

	1967-68	*1969-70*	*1970-71*
State universities	10-11 (42)		
Over $1,000,000		14-15 (16)	15-16 (18)
Under $1,000,000		10 (14)	10 (7)
Private universities (All over $1,000,000)	14 (21)	17 (19)	19 (17)
Private colleges	4 (235)		
Over $1,000,000		8 (28)	8 (33)
$500,000 to $999,999		5-6 (52)	6 (52)
$100,000 to $499,999		4 (60)	4 (35)

(Numbers in parentheses indicate number of institutions in sample.)

It might be expected that institutions with smaller advancement program expenditures would spend proportionately more on salaries for all staff than would institutions with larger budgets. Tables 7-A and 7-B show that in most cases there isn't as much difference as one might expect. Private college medians are in the 30-39 percent brackets, as are the majority of the percentages of state and private universities. One will note, however, the wide range of salary percentage expenditures in every category. Part of this wide range may represent the geographical spread of the sample institutions, for salary levels tend to be much lower or much higher in some parts of the country than in others.

Table 9 provides a comparison of 1970-71 salaries, excluding fringes, of managers and directors of public relations and fund raising functions. In many cases alumni relations and publications officers reported to either PR or FR directors; therefore, comparison was meaningless. Managers are defined as persons responsible for three of the four generally acknowledged functions in an institutional advancement program—information services, publications, alumni relations, and fund raising. Directors are chief administrative officers in charge of either the public relations or fund raising program and report either to the manager or some other executive officer —frequently, the president. In some institutions, particularly the private colleges, the manager also served as director of one of the principal functions.

It will be noted in Table 9 that all managers in state and private universities have salaries of $20,000 and above, but that only approximately one-fourth (33 of 120) of the private college managers are in the equivalent salary brackets. The organizational practice of employing a manager to give coordinated direction to the advancement program is a generally accepted pattern. Three of every four private colleges, 13 of 16 private universities, and 16 of 25 state universities used that managerial structure. Interestingly, 76 percent of the private college managers also served as directors of their institution's fund raising activities.

In all institutions, directors' salaries tended to be higher if they reported to the president or to some other executive officer.

In private universities, the fund raising directorship tends to pay about $5,000 more than the directorship for public relations, but the manager's salary level is between $10,000 and $12,500 above that of his closest subordinate. Directors of fund raising activities (excluding those who also serve as managers) in private colleges generally receive a salary of $2,500 to $5,000 per year more than do public relations directors. In only three cases did the director of public relations receive more than the director of fund raising.

Historically, state universities have placed greater emphasis on public relations activities than on fund raising, but in only four institutions was this emphasis reflected by a higher salary in public relations.

Table 10 compares professional staff size to manager's salary in the 121 institutions which have the manager position. Generally speaking, managers of larger staffs receive higher salaries, but there are some exceptions.

TABLE 7 — Percent of 1969-70 Institutional Advancement Program (IAP) Expenditures Spent on Professional Staff Salaries (not including fringes)

7A — UNIVERSITIES

Percent of IAP Spent on Salaries	STATE UNIVERSITIES			PRIVATE UNIVERSITIES	
	Gift Income Under $1,000,000	Gift Income Over $1,000,000		All Gift Income Over $1,000,000	
	IAP Expenditures Under $500,000	IAP Expenditures Over $500,000	IAP Expenditures Under $500,000	IAP Expenditures Over $500,000	IAP Expenditures Under $500,000
65%	1				
60					
55					
50	1	1	1		1
45	1		2		1
40	1*	3	2	2	1
35	1	*	2*	2	1*
30	1	2	4	4*	2
25		1		3	
20		1			
15					
N/A		1			
Totals	6	9	11	11	6

* Median

7B — PRIVATE COLLEGES

Percent of IAP Spent on Salaries	Gift Income Over $1,000,000		Gift Income $500,000 to $900,000			Gift Income $100,000 to $499,999		
	IAP Expenditures Over $200,000	IAP Expenditures $100,000 to $190,000	IAP Expenditures Over $200,000	IAP Expenditures $100,000 to $190,000	IAP Expenditures Under $100,000	IAP Expenditures Over $200,000	IAP Expenditures $100,000 to $190,000	IAP Expenditures Under $100,000
70%								1
65		1						
60								1
55				1	1			2
50	2	1	1	1				2
45		1		2	3		3	4*
40	1	1	2	10	2*		3	
35	6	3	1*	8*	1			2
30	8*	6*	2	7	1		5*	2
25	7	3		1	1		2	2
20	2	1	1	2		1*	1	1
15				1			1	1
Totals	26	17	7	33	9	1	15	18

* Median

TABLE 8 — Professional Staff Size Compared to Gift Income

8A — STATE UNIVERSITIES

Staff 1969-70	Gift Income (millions) $5+	4.0	3.0	2.0	[1] 1.5	1.4	1.3	1.2	1.1	1.0	.9	.8	.7	.6	.5	.4	TOTALS
50+	1																1
20-24		1					1										2
19[1]				1					1								2
18						2											2
17		1															1
16																1	1
15	1																1
14				1		1											2
13				2							1						3
12				1												1	2
11																	0
10				1											1		2
9			1	1												1	3
8		1													1		2
7									1								1
N/A	1																1
Totals	3	3	1	7	0	3	1	0	2	0	1	0	0	0	2	3	26

8B — PRIVATE UNIVERSITIES

Staff 1969-70	Gift Income (millions) $10.0+	9.0	8.0	7.0	6.0	5.0	4.0	3.0	2.0	[1] 1.5	1.4	1.3	1.2	1.1	1.0	TOTALS
40-44	1															1
35-39																0
30-34		1														1
25-29																0
20-24	1	1		1	1			1								5
19[1]	1					1					1					3
18																0
17																0
16																0
15						1		1								2
14							1									1
13																0
12																0
11																0
10		1														1
9												2		1		3
Totals	3	3	0	1	1	2	1	2	0	0	1	2	0	1	0	17

8C — PRIVATE COLLEGES

Staff 1969-70	Gift Income (millions) $2.0+	1.5 to 1.9	1.0 to 1.4	0.5 to 0.9	0.1 to 0.4	TOTALS
15+		1		1		2
14		1				1
13						0
12		1	1			2
11	2					2
10		2	6			8
9	1	1*		1		3
8	*	1	1	2		4
7	1	2	4	7		14
6	1	2	4*	9	4	20
5			7	5*	4	16*
4	1		3	19	15*	38
3				5	8	13
2					3	3
Totals	6	11	26	49	34	126

[1] Note change in scale * Median

TABLE 9 — Comparison of Salaries of Managers and Chief Advancement Program Administrators (1970-71)

Salary Bracket	STATE UNIVERSITIES						PRIVATE UNIVERSITIES			PRIVATE COLLEGES								
	Gift Income Ranges						All Gift Income			Gift Income Ranges								
	Under $1,000,000			Over $1,000,000			Over $1,000,000			Over $1,000,000			$500,000 to $999,999			$100,000 to $499,999		
	Mgr.	PR	FR	Mgr.	PR	FR	Mgr.	PR	FR	Mgr.	PR	FR	Mgr.	PR	FR	Mgr.	PR	FR
$35,000 & Over				2			3		1									
30,000-$34,999	2			5		1	5			1								
25,000- 29,999				1	4	3	4	2	2	3	1		2		1			
20,000- 24,999	2	1	3	4	4	3	1	2	4	11		8	13	1	2	3		1
17,500- 19,999			3		6	4		1	4	4	3	5	10	6	6	11		2
15,000- 17,499		6	1		1	3		7	2	5	11	1	9	4	3	7		5
12,500- 14,999						1		2			5	2	3	13	6	7	7	3
10,000- 12,499					1						10	1	2	17	2	1	15	
7,500- 9,999								1			3			10			12	1
5,000- 7,499																	1	
Totals	4	7	7	12	16	15	13	15	13	24	33	17	39	51	20	29	35	12
Position Vacant								1	1						1			
Mgr. also Dir. PR					2									1				
Mgr. also Dir. FR						3			2			16			31			23
Insts. Without Mgr.	3			6			3			9			13			6		
Total Insts.	7			18			16			33			52			35		

TABLE 10 — Manager's Salary in Relation to Advancement Program Professional Staff Size (1970-71)

Salary Range of Manager

A — $35,000 & Over
B — $30,000 to 34,999
C — $25,000 to 29,999
D — $20,000 to 24,999
E — $17,500 to 19,999
F — $15,000 to 17,499
G — $12,500 to 14,999
H — $10,000 to 12,499

Staff Size	STATE UNIVERSITIES								PRIVATE UNIVERSITIES				PRIVATE COLLEGES																					
	Gift Income Ranges								All Gift Income Over $1,000,000				Gift Income Ranges																					
	Under $1,000,000				Over $1,000,000								Over $1,000,000						$500,000 to $999,999								$100,000 to $499,999							
	A	B	C	D	A	B	C	D	A	B	C	D	A	B	C	D	E	F	A	B	C	D	E	F	G	H	A	B	C	D	E	F	G	H
30 & Over					1				1																									
20-29					1	2	1	1	2	1	1																							
19										1	1																							
18						1				1						1																		
17				1																														
16								1							1																			
15						1																												
14		1									1																							
13																						1												
12																																		
11											1					2																		
10		1		1				2								1		1				1	1											
9						1				2		1				3						1												
8														1	1			1													1			
7															1		1	2			1	3	3								1			
6																4					1	5		2							1	1	1	
5																	1						1	3	1	1					1	3	1	
4																	2	1				1	4	2	2					3	5	2	3	
3																						1	1	2		1					2	1	2	1
Totals	0	2	0	2	2	5	1	4	3	5	4	1	0	1	3	11	4	5	0	0	2	13	10	9	3	2	0	0	0	3	11	7	7	1

Changes in Size of Professional Staff

While IAP professional staff sizes have continued to increase steadily during the past four years, salaries, with a few exceptions, have tended to make only modest gains. (See Tables 11 and 12.)

These are some of the conclusions from a comparison of 97 colleges and universities with data for the four fiscal years, 1967 to 1971.

Of the 97 institutions, 61 (62.8 percent) increased staffs, and only 12 colleges and universities had fewer professional persons in 1971 than in 1967. Twenty-four institutions remained the same.

The comparison of professional staff sizes in 97 institutions between 1967 and 1971 — by type of institution and average gift-income range — is as follows:

	Institutions Compared	*Staff Increased*	*Staff Decreased*	*Remained Same*
State universities				
Over $1,000,000	14	12	1	1
Under $1,000,000	5	5		
Private universities	10	9	1	
(All over $1,000,000)				
Private colleges				
Over $1,000,000	13	7	3	3
$500,000 to $999,999	32	20	6	6
$100,000 to $499,999	23	8	1	14
Totals	97	61	12	24

Tables 11A, 11B, and 11C take the same 97 institutions and depict the breakdown of staff sizes according to gift-income range. (The gift-income ranges are three-year averages, excluding bequests, for the

TABLE 11 — Professional Staff Size (1967 to 1971) by Gift-Income Range

11A — STATE UNIVERSITIES

(1967-70) Average Gift Income		Professional Staff Size: 6	7	8	9	10	11	12	13	14	15	16	17	18	19	20-24	50+	Number of People	Percent Increase Over 1967-68
Over $1,000,000	1967-68			2	1	2	1		1	1	1	1	1	1		1	1	219	
	1968-69		1		3		2	1	1		1	1		1		2	1	227	
	1969-70		1	1	2			1	1	1			1	2	2	1	1	241	
	1970-71				1	3		1			1	1		1		5	1	267	18.0%
Under $1,000,000	1967-68	2		1		1				1								44	
	1968-69			2	1			1	1									50	
	1969-70			1	2				1			1						55	
	1970-71				1	1	1			1			1					61	38.6

11B — PRIVATE UNIVERSITIES

(1967-70) Average Gift Income		Professional Staff Size: 7	8	9	10	11	12	13	14	15	16	17	18	19	20-24	25-29	30+	Number of People	Percent Increase Over 1967-68
All Over $1,000,000	1967-68	1	1		1				2	1				1	2		1	162	
	1968-69				3					2		1		1	2		1	176	
	1969-70			3						1				2	3		1	178	
	1970-71			2		1							1	1	3	1	1	189	16.6%

11C — PRIVATE COLLEGES

1967-70 Average Gift Income		Professional Staff Size: 2	3	4	5	6	7	8	9	10	11	Number of People	Percent Increase Over 1967-68
$1,000,000 and Over	1967-68		1	3	3		1		3	2		84	
	1968-69		1	2		2	3		2	3		92	
	1969-70			1	2	3	2		2	2	1	95	
	1970-71			1	1	3	3		2	2	1	97	15.5%
$500,000 to $999,999	1967-68	2	6	6	10	5		1	1	1		153	
	1968-69		7	6	6	3	3	2	1	4		179	
	1969-70		6	6	4	6	5		2	3		181	
	1970-71		4	6	4	7	6	1	1	2	1	188	23.5
$100,000 to $499,999	1967-68	2	8	8	3	2						87	
	1968-69	2	5	11	1	4						92	
	1969-70	2	5	10	3	3						92	
	1970-71	1	5	9	5	3						96	15.0

1967-70 period.) Professional staff excludes secretarial and clerical people and is computed on a full-time equivalent basis. It will be noted that in each year the total number of professional staff people among the 97 institutions increased.

Tables 12A, 12B, and 12C show the numbers of professional staff in various salary categories according to type of institution and gift-income range for the years between 1967 and 1971. Fringe benefits are excluded from the figures.

An analysis of salary patterns within the same institution discloses a general flattening of salaries. While all but three of 21 managerial positions in the state and private universities received raises, the salary level of approximately one-third (18 of 56) of the similar positions in private colleges stayed the

TABLE 12 — Professional Staff Salary Comparison 1967 to 1971

12A — STATE UNIVERSITIES

Salary Range (thousands)	Manager				Fund Raising Director				Public Relations Director			
	'67-68	'68-69	'69-70	'70-71	'67-68	'68-69	'69-70	'70-71	'67-68	'68-69	'69-70	'70-71
State Universities (5) — Gift Income Average (1967-70) Under $1,000,000												
$30.0-$34.9		1		2								
25.0- 25.9		1	2									
20.0- 24.9	3	1	1	1		1	3	3			1	1
17.5- 19.9					1	1	1	2	1	1		
15.0- 17.4						2	1				1	4
12.5- 14.9					1	1			1	3	2	
10.0- 12.4									1			
Totals	3	3	3	3	2	5	5	5	3	4	4	5
Position Vacant											1	
No Such Position	2	2	2	2	3							
Director Acts as Manager									2	1		
State Universities (14) — Gift Income Average (1967-70) Over $1,000,000												
$35.0 & Over				1								
30.0-$34.9	1	1	2	3		1	1	1				
25.0- 25.9	2	3	2	1*				2		1	1	2
20.0- 24.9	2*	1*	4*	4	3	3	4	2	1	2	2	3
17.5- 19.9	3	3			1	1	1*	2*	2	3*	5*	6*
15.0- 17.4					3*	2*	4	3	4*	3	2	1
12.5- 14.9					3	4	1	1	1	1	1	
10.0- 12.4					2	1			2	1		
Totals	8	8	8	9	12	12	11	11	10	11	11	12
Position Vacant												
No Such Position	6	6	6	5								
Director Acts as Manager					2	2	3	3	4	3	3	2

* Median

12B — PRIVATE UNIVERSITIES

Salary Range (thousands)	Manager				Fund Raising Director				Public Relations Director			
	'67-68	'68-69	'69-70	'70-71	'67-68	'68-69	'69-70	'70-71	'67-68	'68-69	'69-70	'70-71
Private Universities (10) — Gift Income Average (1967-70) All Over $1,000,000												
$35.0 & Over				2								
30.0-$34.9		2	4	5*								
25.0- 25.9	6*	5*	5*	2	1		1	2				1
20.0- 24.9	2	2			3	3	3	4*		2	3	2
17.5- 19.9					1	4*	5*	3	3			
15.0- 17.4					5*	2		1	1	1	4*	6*
12.5- 14.9						1	1		3*	6*	2	1
10.0- 12.4									2			
7.5- 9.9									1			
Totals	8	9	9	9	10	10	10	10	10	9	9	10
Position Vacant										1	1	
No Such Position	2	1	1	1								

* Median

same. And in the private colleges, half of the remaining managerial positions received an increase of $2,500 or less in the four fiscal years. (Note: Salary information on the various questionnaires had been requested in $2,500 brackets below the $20,000 level; therefore, some of the salary increases which jumped into a higher bracket were probably for less than $2,500.)

An analysis of the salary patterns for public relations and fund raising directorships for both universities and colleges indicates no gain in most cases, reduction in some. Position salaries seem to increase when new people are recruited to fill them; data are not complete in this area, but this generalization tends to apply to managerial as well as director positions.

TABLE 12(Cont.)— Professional Staff Salary Comparison 1967 to 1971

12C — PRIVATE COLLEGES

Salary Range (thousands)	Manager				Fund Raising Director				Public Relations Director			
	'67-68	'68-69	'69-70	'70-71	'67-68	'68-69	'69-70	'70-71	'67-68	'68-69	'69-70	'70-71
	Private Colleges (13) — Gift Income Average (1967-70) Over $1,000,000											
$25.0-$25.9			1	1								
20.0- 24.9	2	4	5	7*	1	1	1	1				
17.5- 19.9	3	3*	2*	3	1	1	1	2*		1	1	2
15.0- 17.4	3*	4	3	1	1		1*		1	3	4	4
12.5- 14.9	2	1	1		2*	1*	1	1	2	2	2*	1*
10.0- 12.4					1	2	1	1	4*	3	5	5
7.5- 9.9					1				3	2*	1	1
5.0- 7.4									2	1		
Totals	10	12	12	12	7	5	5	5	12	12	13	13
Position Vacant						1				1		
No Such Position	3	1	1	1								
Director Acts as Manager					6	7	8	8	1			
	Private Colleges (32) — Gift Income Average (1967-70) $500,000 to $999,999											
$25.0-$25.9		1	2	2			1	1				
20.0- 24.9	3	5	4	8	1	1		2			1	1
17.5- 19.9	3	4	7*	8*		1	3	1		2	3	2
15.0- 17.4	10*	12*	9	6	3	4		1	2	1	2	4
12.5- 14.9	5	1	1		2	3*	3*	5*	4	5	4	7
10.0- 12.4	1	1			2*	3	2	2	7	14*	13*	12*
7.5- 9.9					2		1		13*	6	8	6
5.0- 7.4					2				4	2	1	
Totals	22	24	23	24	12	12	10	12	30	30	32	32
Position Vacant	1						2	1				
No Such Position	9	8	9	8	1							
Director Acts as Manager					19	20	20	19	2	2		
	Private Colleges (23) — Gift Income Average (1967-70) $100,000 to $499,999											
$25.0-$25.9												
20.0- 24.9	1	1	1	2				1				
17.5- 19.9	3	3	5	7	1		1					
15.0- 17.4	3	3	5*	4*			2		1			
12.5- 14.9	3*	7*	4	6	1		1	2	1	2	2	3
10.0- 12.4	5	5	4	1	3*	3*	3*	3*	5	5	6	10*
7.5- 9.9	1				4	1	1	1	10*	12*	13*	9
5.0- 7.4									4	3	1	1
Totals	16	19	19	20	9	4	8	7	21	22	22	23
Position Vacant		1	1			1			1			
No Such Position	7	3	3	3	2	2						
Director Acts as Manager					12	16	15	16	1	1	1	

* Median

Programming Effective Communication and Financial Support

All the evidence would indicate that revolution, not evolution, is needed in the management of institutional advancement programs—programs that result in effective communications and financial support. *Revolution* is used in the sense of "fundamental change," as contrasted with the steady improvement of techniques and personnel training.

Revolution has become a loaded word, filled with numerous negative connotations. But if the hypothesis is accepted that institutions of higher education must expand financial support dramatically in the next decade, a fundamental change in attitude toward, and conceptualization of, management techniques has to occur. And, needless to say, one can't increase financial support unless one increases the degree to which constituents understand an institution and are persuaded that the objectives of that institution are both realistic and worthy of support.

Perhaps the best way to illustrate the changes facing college management is to compare them with the technological leaps necessary for the transition from the DC-7 to the DC-8, the jump from prop-driven to jet-propelled commercial aircraft. From the development of the DC-1 through production of the DC-7, essentially little new major technology was required. This is a slight oversimplification, but piston engines were increased in power, permitting larger airframes to carry more people longer distances. The jet engine, however, was a major technological breakthrough and introduced many entirely new problems not present in piston-engine propulsion. New attitudes and concepts were required if engineers and designers were to realize the potential of the turbine. It took more than a decade from the time the air force first started using the jet engine to the introduction of that same engine in commercial aviation. Yet just ten years after the airlines started using the engine, only a handful of piston-powered planes remained on U. S. commercial routes.

In IAP management—indeed, in the entire field of institutional management—we must now make that transition from the DC-7 to the DC-8.

The United States is a rich nation, and the potential for financial support of higher education remains only partially tapped. Despite the current economic stringencies, philanthropy receives only a small portion of discretionary dollars. Equally important to the determination of potential is the fact that, historically, Americans have taxed themselves to the degree they perceived necessary. The current debate about—and in many cases, resistance to—tax increases is the result of disagreements on allocation rather than on the amount of taxation. It is obvious, then, that the public must be convinced that higher education deserves one of the top priorities in the allocation of tax dollars.

With this objective in mind, what fundamental changes in the management of communication and financial support activities can be made to help meet the staggering dollar requirements?

As a conceptual aid, pose the questions, "What is it we're trying to do? Why? How? With what?"

To a great extent, the goals of an institution answer the question, "What is it we're trying to do?" To realize those goals an institution must have an institutional master plan. Needless to say, unless an institution *has* goals—and these goals are clearly

Definition of Terms

Because some terms have multiple definitions or may be used in various contexts, it is necessary to spell out how these terms are used in this study:

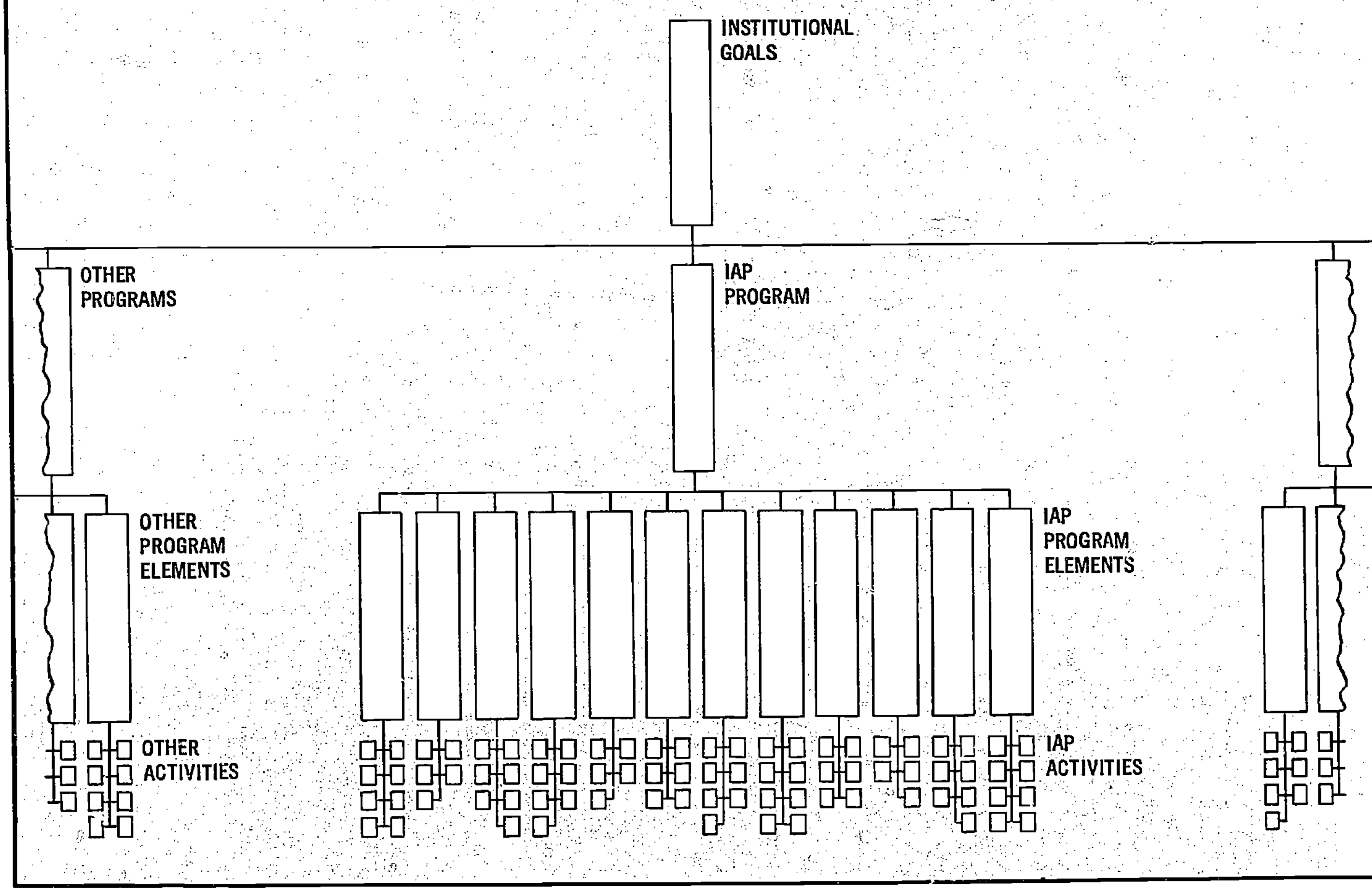
Goals: Broad, qualitative, philosophical statement connoting mission, ends, purposes . . . Strategic in nature.

Objectives: Aims or targets designed to assure achievement of goals . . . Tactical in nature . . . Two categories, broad and specific objectives, reflecting longer or shorter time periods.

Program: A major institutional mission or support service such as the institutional advancement program. A program is composed of a number of program elements.

Program element: One of the basic components of a program. For example, "governmental relations," "deferred giving," "institutional information services" are program elements of the institutional advancement program. Each program element contributes to the achievement of an objective(s) in an overall program. Generally the lowest budget authority.

Activity: Each program element is composed of one or more activities. Activities are events or planned communications which contribute to a program element—and, in turn, thus contribute to a program. For example, a governmental relations program element may have such activities as an annual congressional dinner, regular conferences with granting agencies, etc.



understood and agreed upon within the institution —it is folly to hope to develop an effective, efficient IAP. You can't educate the public to understand and support an institution if that institution itself doesn't know what it is and where it is heading.

Generally, the broad objectives of a sound IAP fall into three categories:

Community acceptance—"Community" refers to the individuals and organizations within the geographic boundaries which the institution serves. "Acceptance" implies knowledge and agreement.

Increased support—Funds from both public and private sources are the program objectives. The mix of these funds is determined by the type of institution, its potential, and its plans for the future.

Professional recognition—It is vital for an institution (and its various academic elements) to receive just recognition—not inflated or distorted impressions—from its peers. It is essential that a definable body of persons—such as scholarly groups, faculty, educational associations, high school counsellors, and government research agency personnel—attain a proper understanding and recognition of the merits of the institution. These persons have great influence on an institution's getting the type of students and faculty it desires.

All three of these broad objectives must be pursued simultaneously, the relative emphasis being determined by management. It cannot be stated too often that effectiveness (the evaluation of degree of accomplishment of objectives) and efficiency (the measurement of input to output) are managed and do not happen by chance.

As a management tool, evaluation of the degree of success (effectiveness) increases proportionally to the precision of the statement of institutional objectives. The question, "How well did we do?" begs the second question, "With respect to what?" Even if the second question can be answered, the effective manager must also pit the results of that specific activity against results (or potential results) of other activities if he wishes to determine the priority allocation of institutional resources.

For example, success of an annual fund can be evaluated by dollars raised, year-to-year performance, number of contributors, quotas met or exceeded, plus any number of other factors which were stated objectives at the beginning of the campaign. Efficiency can be measured by the dollars raised compared to the resources expended (direct costs, institutional staff time, volunteer effort*, etc.). The manager must then assess the various effectiveness and efficiency factors to determine in what priority he must commit his remaining resources. He must ask, "To what degree does this activity help further my broad objectives and the institution's goals?"

Clearly, two factors make it necessary to use a new management approach: (1) the increasing complexity of our institutions, and (2) the increasing interrelatedness of IAP support activities. Just as commercial aviation adapted the jet engine from military use, so higher education must adapt the advanced management tools now being used in the business world. The problem is one of adapting, not superimposing. Objectives, personnel, and methods of operation are too different for mere superimposition.

In one respect, our illustration comparing commercial aviation and higher education does not hold true: higher education can *not* spend ten or more years in making the transition. Every day that a college or university spends in refining existing management approaches could mean fewer real dollars for its educational programs. Inflation and higher costs already have outstripped increases from private gifts and appropriations.

Programmatic planning and budgeting offer college management one business-proven method for increasing both effectiveness and efficiency. The principles are valid, but the application will need adaptation, not adoption.

But a new management system is not a cure-all. Implementation of a new management system will not cure fuzzy thinking, indecisive leadership, and adherence to antiquated and/or unfounded doctrines. Business experience has shown that a program planning and budget system exposes poor managers and poor administrators quickly. If top management is unwilling to make adjustments, the value of the system is greatly reduced.

Unquestionably, capable managers can make a diffused system operate reasonably well. But if a management system requires superhuman effort and above-average personnel to function properly, chief executive officers are flirting with trouble. A poor management system can frustrate the most capable of people and even ruin those who are less well qualified.

To begin discussion of the implementation of programmatic planning and budgeting, it might be best to disregard conventional job titles and department names. Rigidity is one of the most frequently mentioned criticisms of higher education management, and department structure and position titles can create rigidity of thinking. Definition of terms used herewith (see box) are not necessarily employed exactly as a systems analyst would use them. They have been simplified and adapted to the present context.

*Admittedly, volunteer effort is difficult to assess quantitatively. However, it could be asked if any or how many volunteers could be employed at higher gift levels.

Small College

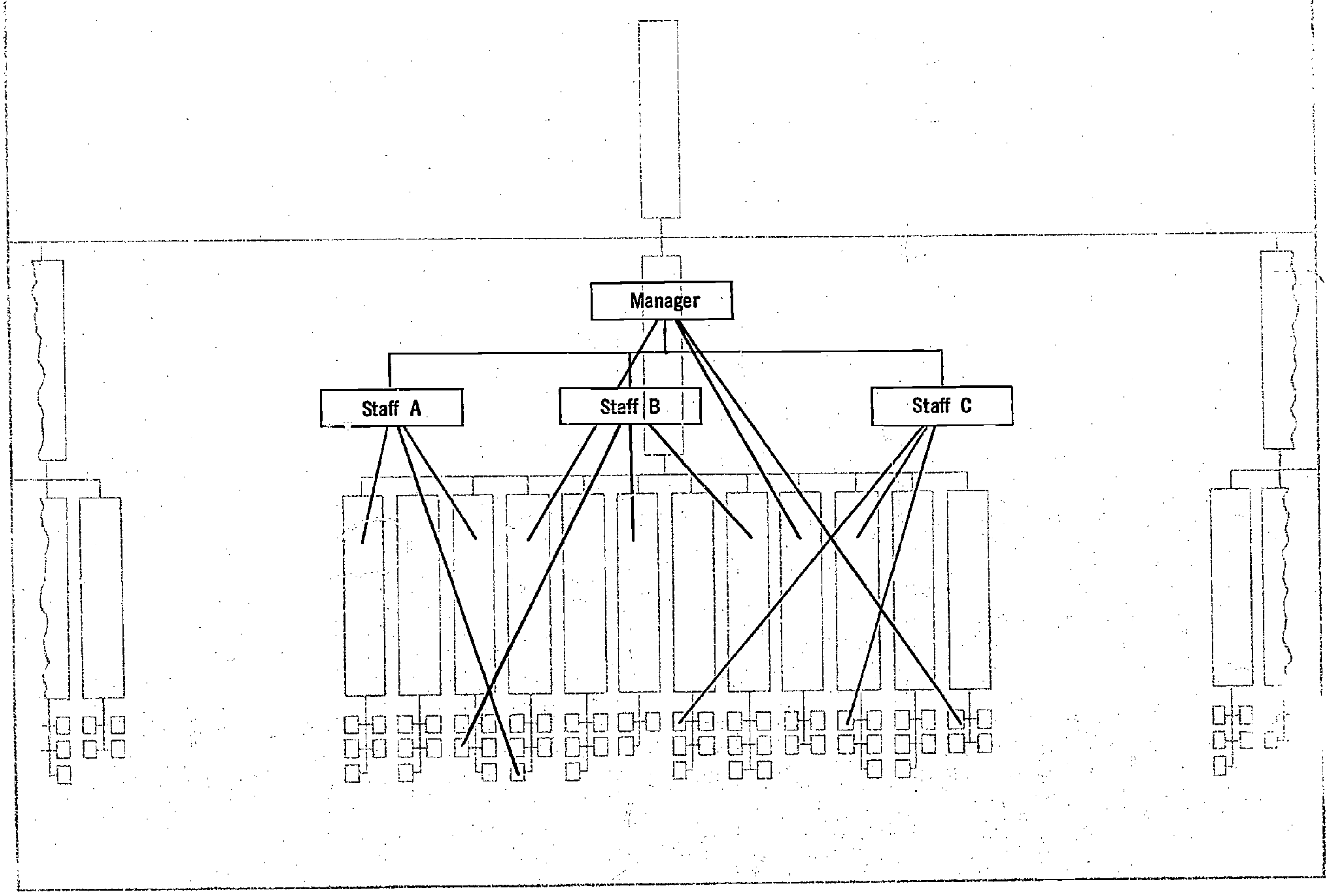
A small staff can implement a program planning and budgeting system as easily as a large organization. It is assumed that in both institutional cases illustrated the number of program elements is the same and that the only major difference is in the number of activities in which each staff is engaged.

Diagrams 1 and 2 seek to illustrate the superimposing of typical small college and university advancement program organizations onto a programmatic structure. The reader is encouraged to forget titles and departments and consider the blocks as professional staff personnel. The vertical rectangles are institutional advancement program elements and the squares are activities.

Both university and college managers will find themselves at the same time directors of program elements and quite possibly administrators of activities. As activity administrators they could easily report to a person who on the regular organization chart is their subordinate. This situation must not become a stumbling block.

Likewise, staff and associate managers will find themselves element directors and activity administrators. In the latter case, they possibly will report to an organizational chart peer. Initially, this procedure may seem as undesirable as a manager reporting to a subordinate who is responsible for the direction of a program element, but it is possible to cite many exam-

DIAGRAM 1
SMALL COLLEGE



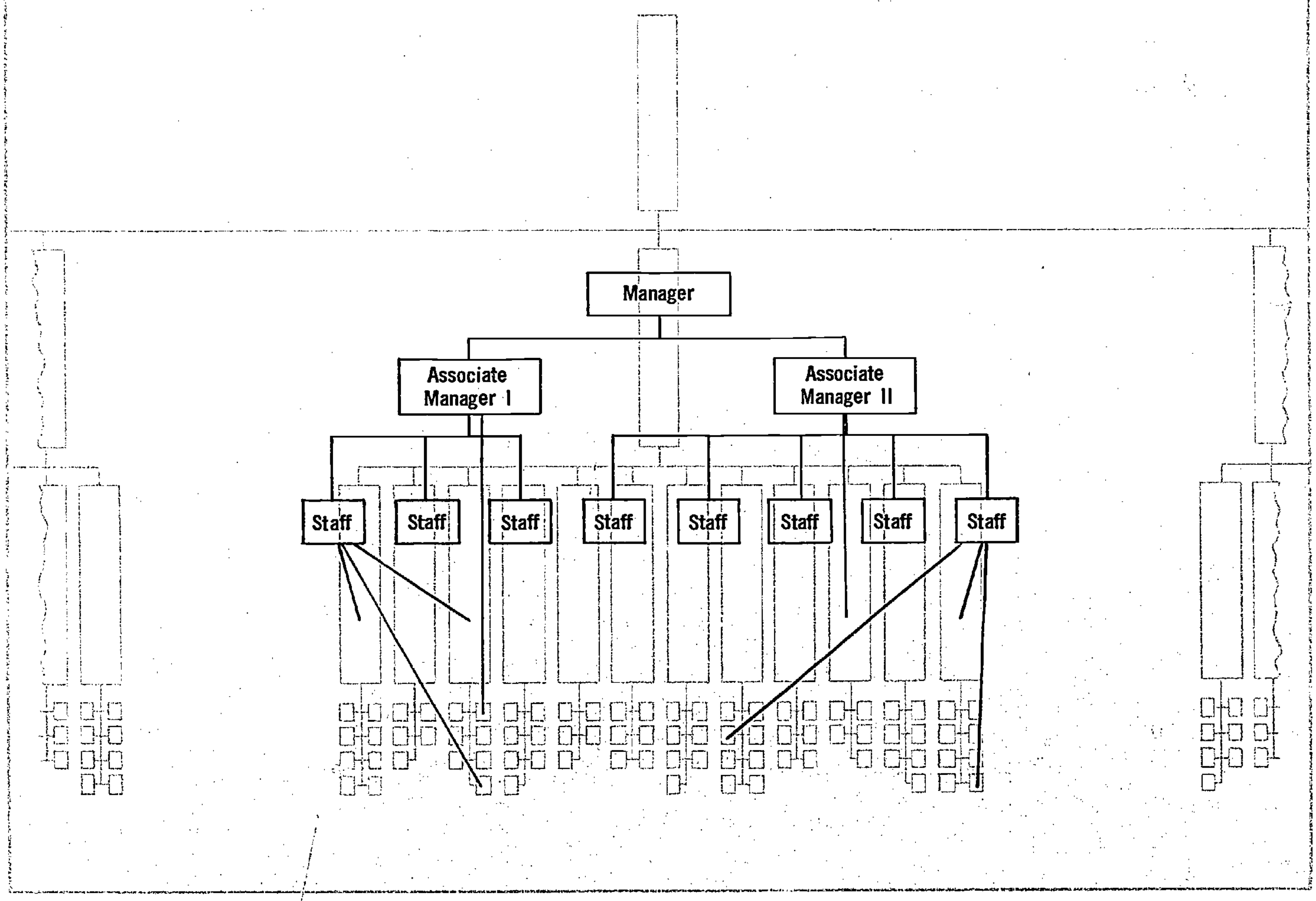
University

ples of both cases in college management today.

Diagrams 1 and 2 are simplified in that each program element and activity is not assigned a director or administrator. The number of elements and activities will vary among institutions and in the same institution from year to year. For clarity, only two or three of the professional staff assignments are illustrated. The purpose is to show that staff organization of a programmatic approach to the institutional advancement program will cross over regular staff organizational lines. Although not shown, the possibility exists of having certain program elements and activities under the directorship and administration, respectively, of people from other institutional administrative areas, such as the business-finance office, and student and academic deans offices. Also, the reverse possibility might be true—IAP personnel directing elements or administering activities of other institutional programs.

With almost any size staff, direction of multiple program elements is possible. Naturally the smaller the staff, the more program elements and activities there will be u one professional staff member. The lar e staff, the fewer the number of program elements that should fall under the directorship of the manager. This is a principle of management often forgotten—or disregarded.

DIAGRAM 2
UNIVERSITY



Essentially, three terms are used: program, program element, and activity. The basic concept of program planning and budgeting is to determine the various outputs of the system (activities) and then to work backwards towards determination of the required resources (people, funds, space, time, etc.). Program elements are nothing more than a logical collection of activities—programs being a similar combination of program elements.

Often, several organizational units will be involved in one activity, necessitating the coordination of people and resources under different managers. For example, the recruiting of students involves the coordinating of resources and personnel in the publications office and alumni office as well as in the admissions office—both of which have different managers.

The same is true of the various activities that comprise a program element. For example, a campus dinner for state legislators (an activity) may be part of governmental relations (a program element of the institutional advancement program). Yet it may involve the resources and personnel of the Board of Trustees, the office of the President, the public relations office, and various other offices—most of which may be under different managers.

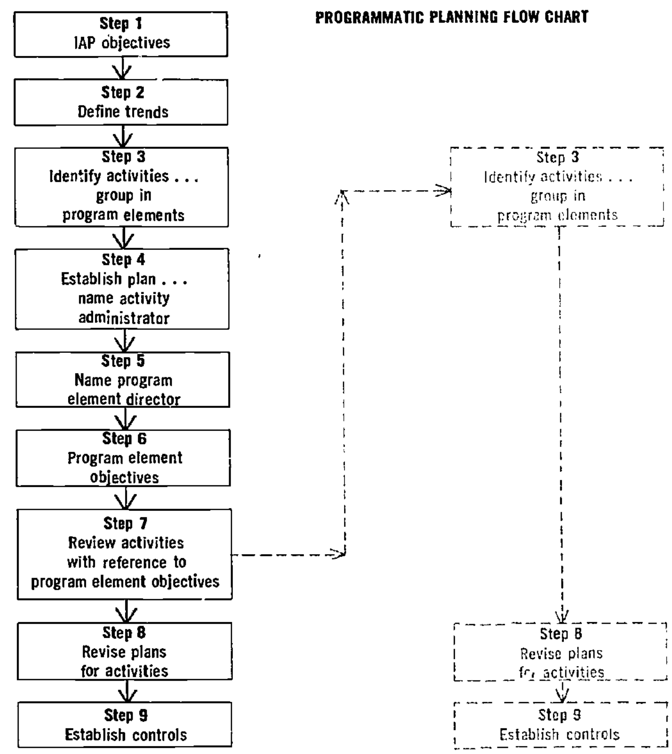
One of the greatest advantages of programmatic planning is that it enables chief executive officers to look across existing organizational boundaries for more effective management and control.

Duplication of personnel skills and job assignments among several departments is common on many campuses. Because of funding practices, personality clashes, or some such reason (real, but of questionable validity), it often has been easier to gain approval for a new program, complete with people and money than to revise existing programs. Program planning and budgeting should eliminate "busywork" or waste and at the same time provide a greater focus to all activities.

A review of a few guidelines for this system of management might be helpful:

- Neither program elements nor activities necessarily have to conform to existing departmental structure;
- A program budget is a planning, not an accounting document;
- Each program element will have a director in charge of the various activities;
- Directors can be in charge of more than one program element;
- Program element directors need not report to the same manager;
- Funds from several budgets will often be allocated to a single program element;
- Programs are composed of related program elements which in turn are composed of logically combined activities.

The development of a systematic program planning and budgeting procedure is an "iterative" process, i.e., a reworking of previous steps may become necessary in light of insights gained from the steps which followed. The accompanying flow chart illustrates the procedure.



Step 1: Identify broad objectives and policies for the institutional advancement program.

In this first step, the broad objectives and governing policies should be outlined for all activities designed to advance the understanding and support of the institution. Objectives, broad and specific, are designed to assist in the achieving of already established institutional goals. (We are assuming, of course, that the institution has a current concrete, understood, and accepted statement of purpose and goals.) Resulting from this first step is a plan with both long- and short-range objectives.

Step 2: Define relevant trends which might affect the program.

The conscious consideration of trends which might affect the institutional advancement program activities will assure that the implementation of the plan will be as pertinent as possible to the existing conditions. Examples of trends and external influences which would affect elements of the program are: relations with various components of the institution's

constituency, condition of the national economy and of various industries important to the particular institution, congressional and legislative attitudes, current and anticipated campus problems, etc.

Step 3: Identify specific communication and financial support activities and group them into program elements.

All institutional advancement programs are composed of a number of activities through which objectives of the program are carried out. All activities (regardless of departmental direction) should be itemized as to which are designed to communicate and insure the financial support of the institution's educational goals. Activities may be singular and nonrecurring, such as a special event. Or they may be ongoing, such as securing and distributing institutional news. Some typical activities are itemized in the chart of program elements and activities at the close of this chapter.

A program element is a logical grouping of related activities established for management and budget control. A program element is administered by a director who supervises the activities and personnel within the program element.

Step 4: Determine the basic approach and designate the administrator for each activity within the program elements.

Plan and outline, in a broad way, the purpose, basic approach, and audience emphasis of each activity within each program element. The primary concern should be the determination of the type (personnel, funds, etc.) and amount of resources required within each program element.

When converting to a programmatic planning and budgeting analysis (using information acquired from conventional accounting methods) managers need to keep several points in mind. Arbitrary allocation of staff time and expenditures will often have to be made for various activities. Travel, telephone, and printed materials are examples of expense items which often serve multiple activities but which usually are accounted for in lump sums.

Further, it should be expected that, in the beginning, allocation estimates will be crude. The key to effective program planning and budgeting in the future is to set up procedures to validate, as well as possible, the initial allocation estimates. Much literature and experience exists in the maintenance of staff time records. For persons who divide their time among several activities, the easiest classification method would be to use the various activities as broad time-category headings. To repeat, procedures need to be established, but the assessing of time devoted to specific activities is not difficult; in fact, it is routine among consulting firms, advertising agencies, and similar groups which provide services to a number of clients.

Each major activity should be under the responsibility of one administrator. It is not always possible or desirable to limit activity administration to professional staff personnel. More than likely one person will administer several activities, but this has been common to management of institutional advancement programs for some time.

Step 5: Designate a director for each program element.

The designation of a person to direct and coordinate the various activities within a program element is crucial to the success of the overall program. The decision will depend upon:

- Nature, purpose, and audience of the key activities;
- Principal source of funding of the key activities;
- Knowledge and experience deemed desirable;
- Management skills.

Each program element director will report to the program manager for purposes of coordination and direction of the various activities for which he is responsible—regardless of whom he reports to in the departmental chain of command. Procedures must be established which will facilitate smooth working relationships and transfer of funds (when necessary) among budget authorities.

Step 6: Establish objectives of various program elements.

Program element directors, in conjunction with the program manager, should determine long- and short-range objectives for each program element. Objectives should be as specific and quantitative as possible and must reflect similar objectives of other program elements.

Step 7: Review and revise various activities to conform to objectives of their respective program elements.

The entire rationale for engaging in programmatic planning and budgeting is contained in this step. Undoubtedly Step 6 will point up a number of duplications—and probably some oversights—in programming. If increased effectiveness, along with greater efficiency, is to be gained, it must start in the streamlining of the activities composing a program element. The cost in staff time and institutional funds of each activity has to be assessed in relation to exact results achieved—or the estimated results you hope to achieve. Likewise, the relative merit of each activity within a program element must be analyzed. Undoubtedly, opportunities for revision—and probable elimination—of an activity will be obvious to analytical judgment. Objective scrutiny and the courage to streamline decisions are crucial to the

success of program planning and budgeting as a management tool.

Step 8: Develop revised plans for each activity with program elements.

Program element directors will need to work with each activity administrator in the revision and formulation of new plans and procedures for the various activities composing each program element. The program element director must make certain that objectives established by him and the program manager for his particular element will be met by the sum of the results of the activities. Directors and the manager may discover that a realignment of activities might be advantageous.

Revised program element plans will need to include resources required, source of those resources, job descriptions, space requirements, time schedule, results expected, evaluation procedures, and revisions and modifications expected in the future in light of long-range objectives.

Step 9: Establish a control system.

The control system needs to be designed to provide a periodic, systematic review of performance in relation to objectives. The control system is the manager's chief method of assessing progress toward the realization of objectives. Because control is so important, a separate chapter of this study has been devoted to discussing one method of establishing controls for the suggested program planning and budgeting system.

Managers must allow sufficient calendar time—not continuous time—for the implementation of a program planning and budgeting system. Procedures must be thoroughly tested, and personnel will have to understand and become adjusted to the new methods.

Programmatic planning and budgeting is a management tool. It must not be confused with a philosophy of management. It's strength is its flexibility, but programmatic planning does not replace imagination, intelligence, and initiative.

Brief Description of Broad Objectives of Institutional Advancement Program Elements—

Governmental Relations

Broad Objectives:

Maintaining year-round liaison with U. S., state and municipal executives, elected officials, and agencies; providing information and interpretative services for use during hearings and debates; providing information and interpretation to citizenry.

Typical activities:

1) Conducting visits to campus;
2) Conducting special briefings;
3) Organizing visits to elected official's home districts;
4) Maintaining resident staff person during legislative session;
5) Publishing information as necessary;
6) Identifying of key leadership;
7) Conducting special programs in various regions of the state;
8) Preparing research and grant proposals;
9) Maintaining information center on governmental support programs.

Alumni/Friends/Donor Relations

Broad Objectives:

Maintaining year-round liaison with groups and individuals who have a special interest in the institution (Such groups and individuals would include alumni, parents, friends, donors, foundations, business and industry, community and church groups.); conducting liaison through mailings and publications prepared by other offices, special events, individual visits, etc.; maintaining close coordination with other directors of program elements.

Typical activities:

1) Maintaining proper relationships with key constituencies;
2) Supervising special events;
3) Supervising adequate communication program;
4) Acknowledging appreciation for services, gifts, etc.;
5) Identifying new constituents who can be added to these groups.

Current Funding

Broad Objectives:

Providing gift funds necessary to meet requirements of current operating budget; providing prospects for special large gifts, including capital projects.

Typical activities:

1) Conducting the annual fund;
2) Contacting corporations, foundations, indi-

viduals, etc., for gifts to meet annual operating expenses;
3) Servicing volunteer organizations;
4) Staging special events.

Capital Funding

Broad Objectives:

Providing gift funds necessary for capital projects designated by governing board; directing or assisting in the acquisition of public funds necessary for institution's capital projects; serving as valuable source of information for research/evaluation service.

Typical activities:

1) Preparing proposals for various projects;
2) Developing and implementing project funding plans;
3) Servicing volunteer committees;
4) Establishing contact with individuals and corporate, foundation, and government bodies regarding project funding;
5) Developing donor recognition programs;
6) Preparing case statements.

Deferred Gift Funding

Broad Objectives:

Seeking gifts of retained life income from individuals who would not be in a position to make outright gifts to the institution.

Typical activities:

1) Developing institution's portfolio of gift plans, e.g., pooled income fund, charitable unitrust, charitable annuity trust, etc.;
2) Establishing sound investment plan and procedures for handling gifts;
3) Developing prospect list;
4) Formulating solicitation procedures for contacting prospects;
5) Establishing and servicing volunteer groups;
6) Advertising and/or promoting through various selected activities.

Publications/Audio-Visuals Services

Broad Objectives:

Developing and preparing publications, audiovisuals, and editorial services required by other institutional programs; serving as graphics consultant to institution; assisting in readership surveys and content analyses as deemed necessary.

Typical activities:

1) Producing publications activities such as writing, editing, designing, printing and distribution;
2) Planning of publications with various departments;
3) Preparing exhibits and audio-visual presentations.

Institutional Information Services

Broad Objectives:

Developing and maintaining information files or contact sources on institution's programs, students, faculty, history, physical plant, plans, etc., sufficient to meet requests from news media, government bodies, governing boards, and other individuals; serving as information bank for internal and external communications programs as well as for fund raising activities.

Typical activities:

1) Maintaining extensive information files, either manual or automated;
2) Servicing information requests either verbally or written;
3) Developing and maintaining information sources to meet requests for comparative data on higher education.

Internal Communication

Broad Objectives:

Establishing two-way communication with faculty administrative staff, and other employees of the institution; establishing two-way communication with students; ascertaining and evaluating attitudes of above groups on various issues; creating better understanding among all groups of institution's activities; facilitating determination and implementation of institutional programs.

Typical activities:

1) Editing newsletters;
2) Planning special convocations or other meetings;
3) Staging tours of new facilities;
4) Conducting travel tours for entertainment/education;
5) Holding meetings with key local, regional, national education leaders;
6) Conducting parent/student programs;
7) Preparing and distributing handbooks and orientation materials for individuals as they become affiliated with the institution;
8) Collecting and distributing labor relations information.

External Communication

Broad Objectives:

Enhancing understanding of institution's programs by various external groups such as alumni, community, government bodies, etc.; preparing various groups and individuals to recognize need for financial support; ascertaining and evaluating attitudes of various external groups;

counseling president and other chief executive officers on programs and actions which could affect institutional relationships with the public; improving professional recognition of institution within national educational community—professors, associations, accrediting agencies, high school counsellors, governmental education bodies.

Typical activities:
1) Preparing news releases;
2) Staging news conferences and maintaining press relations;
3) Developing audio-visual presentations;
4) Servicing of local and national news media;
5) Contacting media and key individuals;
6) Staging campus visitations for various groups such as press, local and national dignitaries, educational leaders, alumni, parents, high school counsellors.

Special Events

Broad Objectives:

Conducting various special events which are components of other institutional programs; providing counsel to various programs and departments in their staging of special events; insuring a professional handling of all institutional special events.

Typical activities:
1) Preparing and sending invitations;
2) Making meeting hall arrangements;
3) Coordinating meal service;
4) Supervising protocol knowledge and procedures;
5) Making guest arrangements;
6) Making security arrangements.

Research/Evaluation

Broad Objectives:

Developing and maintaining information files on donors and prospects; conducting and evaluating constituent attitude surveys; evaluating certain projects and programs; determining cost and performance basis; serving as information data source for institutional advancement program planning.

Typical activities:
1) Analyzing numerous information sources to maintain donors and prospect data files;
2) Conducting personal interviews and mailing questionnaire surveys;
3) Supervising and/or recording cost information.

Gift Acknowledgment/Processing

Broad Objectives:

Developing, supervising, and maintaining thorough gift information records in conjunction with institution's business office; making certain all gifts acknowledged to the extent, including personalization, necessary and desirable; maintaining records adequate for effective planning.

Typical activities:
1) Maintaining individual gift records;
2) Reporting gifts to various administrative and faculty units;
3) Preparing acknowledgments of gifts;
4) Accounting and reporting of gift income.

Using the Organizational Work Sheet

For preliminary planning purposes, it is suggested that the manager of a college or university institutional advancement program should prepare a work sheet similar to that on the opposite page. For sufficient working space, this work sheet should be prepared on a giant-size sheet of paper—at least 23" x 35" or larger.

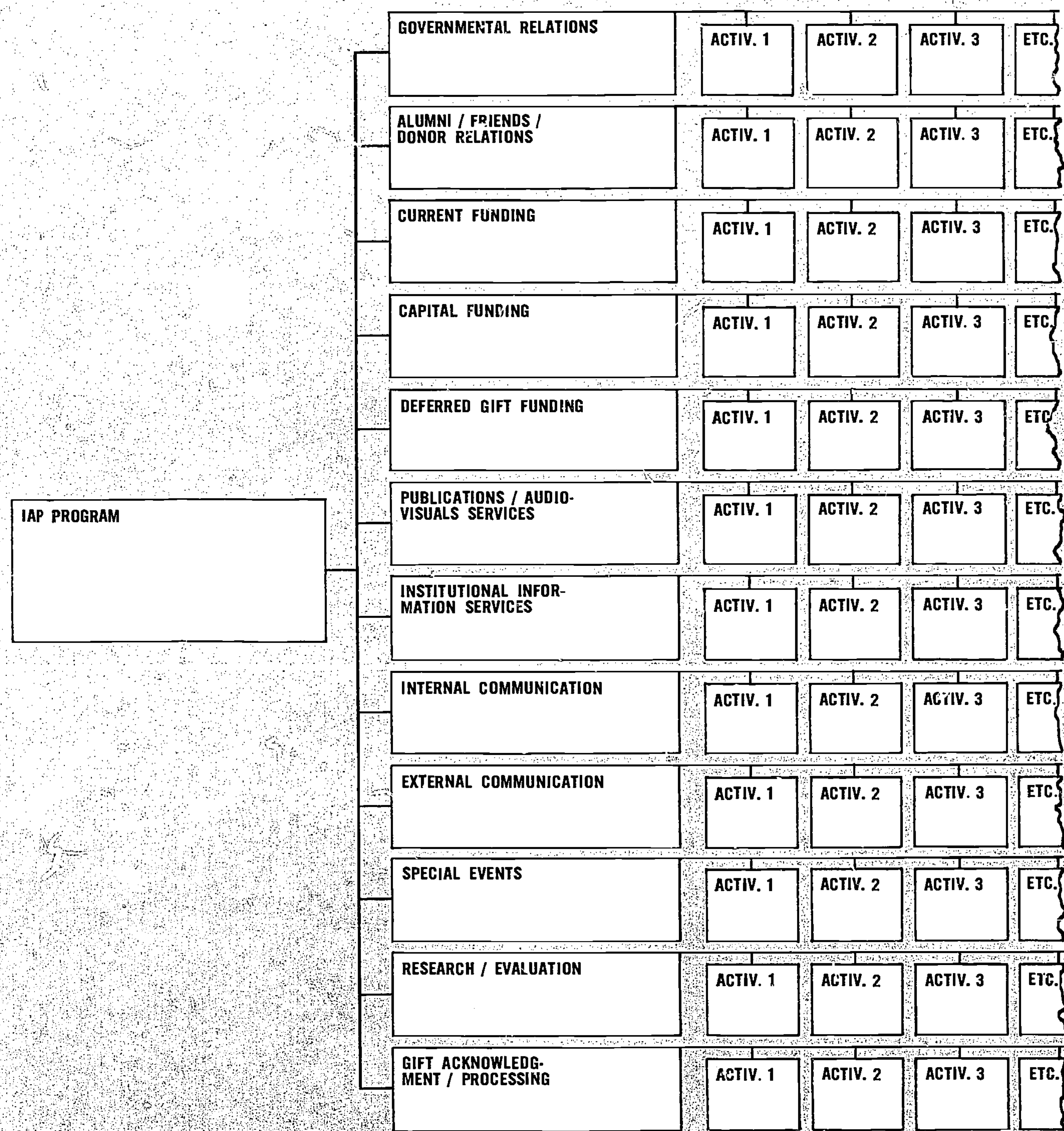
First, define the objectives of your IAP. Type these objectives and paste them in the block labelled "IAP Program."

Then define the objectives of each of the program elements. Use the material on pages 46ff. of this study as idea-starters. Add to, refine, adapt the objectives outlined on those pages in light of your specific institution. Type these objectives and paste them in the appropriate program element blocks.

Finally, in a similar manner identify each activity required for each program element. Overlook none. On the worksheet, draw a square for each activity—"feeding off" the appropriate program element block. Type the name of each activity and place it in the appropriate square.

After you have established your plan of organization and action, your next function is to assign responsibilities. Place a large sheet of acetate over the basic plan. On the acetate draw blocks representing your personnel organization; i.e., as manager of IAP, the rectangle representing you should be placed over the "IAP Program" block, etc. Then start defining the responsibilities of each person on your staff—as directors of program elements, as administrators of each activity. Be sure that the workload is as evenly divided as possible considering the talents and experience of each individual. When you have completed this work sheet, each person will understand the "chain of command," the directors or managers to whom he reports, and his specific responsibilities.

IAP Organizational Work Sheet



Staying in Control

Successful management is a process of controls—stopping, starting, revising programs and activities as judgment dictates from an analysis of progress against desired objectives. But the keys to a functioning control system are accurate information and descriptive accounting procedures.

Information must be accurate and up-to-date and must be stated in terms usable to managers and administrators. No communication program can be effective if it does not have regular, reliable attitude studies—one example of the type of information required by successful managers. Opinion surveys are vital to determine attitudes on certain questions as well as to ascertain long-term public opinion trends. Such studies have been too long neglected by most institutions. Other activities also require systematic information procedures. For example, data retrieval methods are needed to maintain donor and prospective donor files and for competent editorial work in publications and news releases.

Earlier, we mentioned "descriptive accounting procedures" as a key to good control. The adjective "descriptive" was used to differentiate between columns of meaningless numbers and accounting information which presents a complete picture of an activity. Some institutions with the greatest amount of accounting statistics have the least amount of usable information for control and planning purposes.

Most managers of institutional advancement programs will not have the luxury of establishing a control system that is completely new and designed exactly to their specifications. At the same time, no one system will be adequate for all types of institutions. Most managers will gradually have to adapt and implement a control system for programmatic planning. Therefore, principles and general requirements, along with a few specific illustrations, will be presented in this section.

One of the principles of management is that decisions should be made at the lowest organizational level. The farther up the organizational chart one must travel to obtain a decision, the greater is the likelihood that the top managers are unnecessarily burdening themselves and stifling the initiative of subordinates.

Not all administrators and managers need the same type of control information. Statistical detail required by the administrator of a special event (or some other activity within a program element) should be more extensive than that needed by the program manager, or even by the program element director. On the other hand, the program manager—and not every program element director or activity administrator—would need at least summary figures on all elements under his responsibility.

Not all funds are received or expended at an even pace. Some account items may be expended in the first part of the budget year; others are not touched until near the close of the fiscal year. For this reason, a manager needs to establish an effective information reporting system based on the expected flow of expenditures. He likewise needs a reporting system to measure the cash flow of gift income. The system should not be burdensome, but some technique should be established to enable the manager to know that certain expenditures, although in excess of the proportionate amount of the budget year, are not out of line with the planned flow of funds. Conversely, a manager should be able to detect whether a slow expenditure rate reflects planning or some delay in implementation. Much of this information will be known by the manager through his experience. The remainder could be communicated up the line by pencil notations from his subordinates or through a quarterly flow-review procedure.

Another principle in the establishment of an effective control system is to assure flexibility and

promptness. Reports must reach the manager, directors, and administrators within a few days of the end of the reporting period. (A monthly reporting period is suggested.) The trickling in of late reports hampers good management control. At the same time a manager should make certain that posting date cut-offs aren't advanced to provide extra processing time. Such a procedure still gives management old information.

Inflexibility is an accurate description of too many institutional accounting systems. Flexible bookkeeping is imperative to the success of program planning and budgeting. Managers need to have expenditure figures three ways: by department, by item (travel, publications, office supplies, etc.), and by program element. Directors of program elements will need regular financial statements on activity expenditures as well.

A flexible accounting system will permit a manager to control expenditures by program, by department, or by item. Under current financial practices at most institutions, expenditures are charged to departments by item. Management difficulties which arise from this procedure are:

(1) Often, too many items are lumped into a relative few budget account items;
(2) It is difficult to determine costs of various activities within departments, such as how much is expended on the annual fund by the development office;
(3) Allocation of expenditures to more than one department or program is difficult;
(4) Financial statements represent expenditures by department, not by program or activity.

Information retrieval and accounting systems are not ends in themselves; that is, they are not established to keep people busy and record a quantity of statistical data. Information retrieval and accounting systems are management tools designed for control and planning purposes. Collection and processing of data of unlikely value result in system overload and lowering the morale of personnel. It is the responsibility of each budget control officer to determine what he needs and establish collection procedures.

Most information processing is dull, unglamourous work, but it has to be done on a regular, systematic basis. Clipping newspapers, posting accounts, sorting through tax records, recording publication cost and production data, keeping release quantity and distribution charts, sifting through annual reports and foundation grant information—all this is tiresome work but extremely important. The job should not be further complicated by indecision on management's part as to what information it needs.

What then are the information and accounting requirements of a program element, the basic budget control entity?

Information and accounting needs vary among institutions as well as among program elements within the same program. Basic to planning and control, however, are:

(1) Personnel requirements, including job descriptions, salaries, fringes, etc., for professional, secretarial, clerical, and part-time employees;
(2) Space utilization (square footage and location);
(3) Audience analysis (or what business would call market surveys);
(4) Monthly reporting system of expenditures according to:
    Item,
    Department,
    Program element;
(5) Flow chart of expected expenditures;
(6) Flow chart of anticipated income;
(7) Implementation calendar designed to monitor progress;
(8) Objective statements, quantified as much as possible, portraying expectancies and purposes of the program element and its various activities;
(9) Production and distribution figures and dates on all releases and publications;
(10) Ongoing data retrieval systems pertinent to the various activities within the program element.

The reporting of financial information can be handled in a number of ways. It is important, however, that figures on budget appropriation, amount expended to date, balance, and percent of expenditure relative to anticipated flow of funds be obtainable. Such information criteria can be a guideline for financial statements provided to each level of budget control officer. For example:

PROGRAM MANAGER'S MONTHLY FINANCIAL STATEMENT

	Budget	*Expended*	*Balance*	*Percent*
Program Element I	XXXXXX	XXXXX	XXXX	XX
Activity A	XXXXXX	XXXX	XXXX	XX
Activity B	XXX	XXX	XXX	XX
Activity C	XXX	XXX	XXX	XX
Program Element II	XXXXXX	XXXX	XXXX	XX

PROGRAM ELEMENT DIRECTOR'S MONTHLY FINANCIAL STATEMENT

	Budget	*Expended*	*Balance*	*Percent*
Activity A	XXXXXX	XXXX	XXXX	XX
Account Item 1	XXXXX	XXX	XXXX	XX
Account Item 2	XXXX	XXXX	XXX	XX
Account Item 3	XXXXX	XXXX	XXXX	XX

ACTIVITY ADMINISTRATOR'S MONTHLY FINANCIAL STATEMENT

	Budget	*Expended*	*Balance*	*Percent*
Account Item 1	XXXXX	XXX	XXXX	XX
Account Item 2	XXXX	XXXX	XXX	XX
Account Item 3	XXXXX	XXXX	XXXX	XX

Every institution has its own chart of accounts and coding system for each budget account. Revisions will have to be made in the coding system if program planning and budgeting is to be implemented. Expenditures have to be coded according to:

(1) Program;
(2) Program element;
(3) Activity;
(4) Expenditure item;
(5) Department or budget unity.

One method is a variation of a coding system employed by some businesses. It would consist of an 11-digit number, not much larger than most current institutional systems:

program	*program element*	*activity*	*item*	*department*
XX	XXX	XX	XX	XX

Of course, variations in the number of digits needed under each category might be necessary.

At the end of this chapter is the nomenclature of accounts used by typical colleges or universities today. Each institution will have unique account items, but nomenclature and coding numbers should remain uniform throughout the college or university. In other words, "office supplies and other expenses" should have the same digital code for expenditures in the IAP as it has in the graduate or undergraduate programs. This procedure seems to have general acceptance and is desirable for its uniformity and simplicity. Regardless of the number of digits found necessary by a particular institution, the expenditure coding would look something like this: XX-XXX-XX-XX-XX.

The accompanying list of account items is intended as a guide for uniformity within the various elements and activities of the institutional advancement program. Such a breakdown of accounts should provide sufficient detail for effective control and planning purposes. All items would not be needed for each activity. Also, some program elements which are composed of too few activities—or activities that are too insignificant—to have activity administrators or budgets might find the chart of accounts quite adequate for financial report purposes.

Whatever system of coding of account items is employed, it need be only as extensive and detailed as required for efficient and effective control and planning purposes.

Typical Nomenclature of Budget Account Items

- Salaries/Benefits
  - Academic
  - Professional
  - Clerical
  - Student
  - Temporary
- Advertising/Promotion
- Meetings, entertainment
- Memberships
- Office operations:
  - Printing (forms, stationery)
  - Rent, renovation
  - Supplies and other expenses
  - Telephone-telegraph
    - Equipment charges
    - Toll charges
- Photographic services and supplies
- Postage and shipping
- Professional fees/services
- *Printing (Publications)
  - __________
  - __________
  - __________
- **Special Events
  - __________
  - __________
  - __________
- Subscriptions (services, publications)
- Travel (Staff):
  - Air
  - Auto (mileage, rentals)
  - Other transportation
  - Lodging
  - Meals
  - Miscellaneous
- Travel (Volunteers):
  - Air
  - Auto (mileage, rentals)
  - Other transportation
  - Lodging
  - Meals
  - Miscellaneous
- Miscellaneous or contingency

*May have special budget breakdown and/or may be handled as a separate activity within a program element.

**See chart below on typical nomenclature for special events.

Typical Nomenclature for Special Events Items

Income:

- Admission Fees
- Budget Appropriation
- Gifts and Grants
- Other

Expenditures:

- Awards
- Meals, coffee, etc. (on site)
- Office supplies and expenses
- Office supplies and expenses (on site)
- Planning meetings
- Postage, shipping
- Printed programs
- Promotional mailings (includes handling and postage)
- Protocol
- Resource personnel honoraria
- Resource personnel expenses
- Staff travel and expenses (to-from site of meeting)
- Telephone and telegraph
- Contingency

The Philosophy Underlying an Institutional Advancement Program

The statement, "The whole is greater than the sum of the parts," describes the philosophy underlying a programmatic approach to the management of the institutional advancement program. Strength and effectiveness are gained by a blending of the institution's resources, human and financial, with the necessary leadership motivation. The focus is on the accomplishment of the educational mission.

The institutional advancement program provides the formal mechanism which insures proper utilization of the talents of faculty, administration, and all other persons closely involved in activities designed to advance the understanding and support of the institution. The IAP must be much more than a professional staff and a set of offices. It is a concept, an attitude, which must pervade the entire institutional family. It is faculty members and deans seeking funds for special projects, programs, or equipment. It is internal understanding of and agreement on the institution's mission. It is a system which establishes an orderly pursuit of priorities, but which is also designed to stimulate individual initiative and creativity. It is a philosophy of operating in the public interest, for inevitably institutions exist only with the consent of the public.

Program planning and budgeting, management by objectives, and systems analysis are only management tools which the institutional family must use through its designated professional staff to achieve agreed-upon goals. Tools must not become ends in themselves. Competent managers recognize this temptation and use their tools and experience to keep institutional objectives in the forefront.

An effectively managed advancement program will constantly focus on institutional objectives and will not permit fund raising, special events, press releases, publications, or legislative resolutions to become ends in themselves. Each activity has its place in the program, but the measures of effectiveness are the degree of accomplishment of pre-determined objectives. Using this definition of effectiveness, the only rebuttal to management could be that the objectives were not sufficiently imaginative or challenging.

Without clearly defined, agreed-upon institutional long-range objectives, chief executive officers and governing boards are, for the most part, wasting communication and financial support efforts—not to mention efforts in other academic and administrative areas. If there is no institutional plan, or if that plan is vague and ill-defined, inevitably the objectives of the advancement program become extremely short-term, tending to focus on funding a project, staging an annual special event, or just raising money and sending out news releases. If there is no institutional plan, measurements of effectiveness are made solely on management's tools—the event, the release, the publication—rather than on management's accomplishment of institutional objectives.

In the seventies it may well be that solutions to assure the health of individual institutions may be found more quickly through a management approach

than through a financial approach. This idea is based on the belief that good management can solve many of the financial problems. Given the facts that:

(1) there is much discretionary money available, and the United States tax rate is not as high as many other countries;
(2) there is an adequate supply of young people who seek higher education, not to mention adults who are begging for substantive continuing education programs; and
(3) there is an inherent belief in the importance of education . . .

individual institutions have a management problem. They need trained, dedicated people organized to get the job done.

A businessman would phrase items one, two, and three in these terms: capital available, market potential present, and market acceptance established. Every businessman knows that the three primary ingredients for success are a good product, communication of that fact, and a mechanism by which the public can avail itself of his noteworthy product.

To assure support, an institution must produce what a sufficient segment of the population believes to be a good product. Producing a good product means doing a commendable job at whatever the institution describes as its mission—providing a liberal arts, professional, graduate, or some specific sort of education for that segment of the population it seeks to serve. But producing a good product does not in itself assure support. The story of this product must be communicated effectively to the institution's market area, and a mechanism for support (the gift or the vote) has to be provided. Obviously, these last two ingredients are the business equivalent of advertising and sales.

Every college and university campus has its share of teaching and administrative personnel who think their only concern is with their immediate job. They believe that if they help produce the best department or perform the best research, support should flow automatically, or at worst with a little assistance from the fund raisers. On the other side, presidents all too often don't want the assistance of—or would rather not bother—faculty members or other administrators in the critically important business of financing the educational program. But if every member of the governing board and every person on the institutional payroll is not knowledgeable about financial planning and implementation efforts, full potential cannot be realized. The degree of involvement, of course, will vary with individuals, but each should be aware of and feel some degree of responsibility for insuring sound financing.

With good managers reporting to him, the president's job becomes largely one of leadership and mediation—and perhaps, a bit of meditation. Management has often been defined as getting things accomplished through people. Nowhere can that definition be better applied than in college management, particularly in the institutional advancement program.

The advancement program manager serves the president in a dual capacity: counselor and implementor. Through the resources of his staff he provides the information and judgment input necessary for the president and his executive staff to reach decisions. He then is responsible for the effective implementation of the portion of those decisions falling in his area. In a program planning and budgeting system, there will be a number of occasions when one manager lends members of his staff to another manager to accomplish a specific task. Every member of the executive staff is, and must feel, responsible for the successful attainment of every other member's tasks.

All managers must merit their position through experience, performance, and imagination. They must be educators first—deans, business managers, and fund raisers second. More than any other people at the institution, managers must keep themselves current in the literature of the field and on events affecting institutions of higher education. But good managers usually don't work for poor presidents. Support must come from the top in the form of reasonably prompt decisions, decisive action, and consistent interpretation of policies.

Putting the three ingredients—prompt decisions, decisive action, and consistent policy interpretation—in another light points up the importance of a clearly defined organizational plan. The purpose of the organizational plan is to establish communication patterns, decision-making levels, and control procedures. To be effective, management must communicate its policies well and quickly, establish responsibility and authority, and be consistent in its policy interpretation. The lower the level at which a decision can be made, the more time administrators and managers will conserve. Likewise, pinning responsibility and necessary authority at the proper place will increase both effectiveness and efficiency. With more information and insight, every member of the institutional family will perform his own function better and will truly be a member of the institutional advancement team.

Earlier it was stated that an institution's advancement program was not embodied in certain staff members and offices. Rather, the IAP is a concept, an attitude, that must pervade the entire institutional family if the program is to be successful. This probably is the principal philosophical concept underlying the advancement program. The professional staff is a means to an end, the vehicle whereby an institution provides coordinated direction to assure the full utilization of human and financial resources in the attainment of institutional goals.

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